

Long-Term Care Ombudsman Program

Title VII

User Guide

September 2019

ADMINISTRATION FOR COMMUNITY LIVING (ACL) REPORTING

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1 Title VII User Guide Introduction

This user guide provides all Administration for Community Living (ACL) staff users and Long-Term Care Ombudsman Program (Ombudsman program) users with information to help them become familiar with the ACL Older Americans Act Performance System (OAAPS). The intended audience includes ACL Central and Regional Office staff and Ombudsman program users.

1.1 Purpose of OAAPS

OAAPS is the data submission portal for Ombudsman program users to report annual performance data. The Older Americans Act (OAA) and the Ombudsman program rule require the Ombudsman program users to independently develop and provide a final approval of an annual report to ACL. The National Ombudsman Reporting System (NORS) is the required data collection instrument that states must use to fulfill their annual reporting requirements. See OMB 0985-0005 for more information about NORS. OAAPS is the tool Ombudsman programs use to report their NORS data to ACL.

2 System Overview

2.1 Introduction

This section of the user guide provides general information about OAAPS such as navigating the system, where important content can be located, and system security information.

2.2 OAAPS User Views

Throughout OAAPS, content is tailored to the needs of both ACL staff and Ombudsman program users. While content for ACL staff and Ombudsman program users may be similar, there are many differences. To ensure this user guide is helpful for both organization levels (ACL staff users and Ombudsman program users), it includes specific guidance when content shifts for each organization level.

2.3 OAAPS Public Pages

OAAPS may be accessed at the following link: <https://www.aaaps-pilot.acl.gov>. The public view pages, including the Home page and a Resources page, are available to anyone. To be able to submit, view, or report data, one must sign in as a user, which can be done using the **Sign in** button at the top right of the page. There is also a link beside the **Sign in** button that users can select if they have forgotten their password. For more information about resetting a password, please see the [Change Password section](#).

2.3.1 Home Tab

The Home page provides visitors with information about the OAA and the ACL. It also contains information about recent system updates, reporting calendar, important dates, and upcoming events.

OAAPS Home Page

ACLOAAPS | Older Americans Act Performance System

Forgot password [Sign in](#)

HOME RESOURCES

WELCOME TO OAAPS

Access to this site is restricted to authorized Older Americans Act (OAA) Title III, VI, and VII grantees and sub-grantees. Final datasets can be viewed at: **AGing Integrated Database (AGID)**.

About the Older Americans Act (OAA)

The OAA authorizes an array of services through a national network of state and local agencies on aging, and American Indian, Alaskan Native and Native Hawaiian organizations. OAA programs help older adults remain at home for as long as possible, promote the rights of older individuals, and advocate for individuals who live in long-term care facilities.

About the Administration for Community Living (ACL)

ACL's programs support people with disabilities, older adults, families and caregivers to live independently, with equal opportunities to earn a living, go to school, choose where to live, and make decisions about their lives. In addition, ACL invests in research, innovation and education to improve the quality and availability of these services, and advocates for older adults and people with disabilities. More information is available at: [ACL.GOV](#).

Recent System Updates

Coming soon.

[See all updates](#)

Reporting Calendar

Coming soon.

[See reporting calendar](#)

Upcoming Events

Coming soon.

[See all events](#)

SITE SUPPORT

- About OAAPS
- Contact Us
- ACL-OAAPS@icf.com
- Viewers & Players
- Accessibility
- Privacy Policy

PARTNER SITES

- The White House
- HHS
- Alzheimers.gov
- LongTermCare.gov
- Disability.gov
- USA.gov
- Grants.gov

POINTS OF INTEREST

- FOIA
- Plain Writing
- No Fear Act

Administration for Community Living

U.S. Department of Health and Human Services

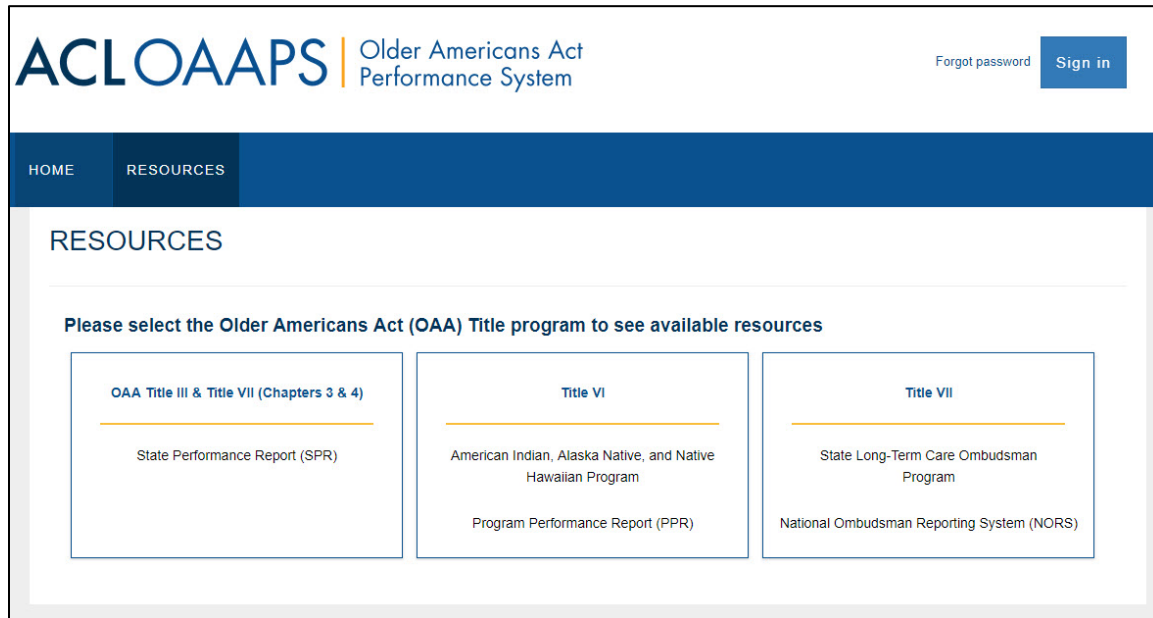
Administration for Community Living

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2.3.2 Resources Tab

In addition to the Home tab, visitors to OAAPS can access a Resources tab without signing in to the system.

OAAPS Pre-Sign In Resources Page



The Resources tab contains resources available for each of the following Titles of the OAA:

- OAA Title III & Title VII (Ch. 3 & 4): State Performance Report (SPR)
- Title VI: American Indian, Alaskan Native, and Native Hawaiian Program, Program Performance Report (PPR)
- Title VII: Long-Term Care Ombudsman Program, National Ombudsman Reporting System (NORS)

Visitors can explore to learn what resources are available to the general public. This content is also helpful for vendors and information technology (IT) staff.

2.3.2.1 Title VII Resources Page

The Resources page provides the following range of resources to support OAAPS users:

- **Reference Materials** – contains user guides and quick reference materials
- **Recorded Training** – enables users to watch recorded webinars about using OAAPS
- **FAQs** – includes expandable question and answers for topics that users have asked about, as well as information gained throughout the system development process
- **Technical Documents** – contains support materials that list data elements, codes, value definitions, and data specifications
- **Upcoming Events** – lists submission dates and other dates relevant to each grant program (i.e., Title III & VII (Ch. 3 & 4) SPR, VI, or VII of the Older Americans Act)
- **Reporting Calendar** – lists important dates related to reporting and data submission
- **Contacts** – contains contact information for key ACL Central and Regional office staff
- **External Resources** - provides links to sites relevant to OAAPS users outside of ACL.gov

Title VII Resources Page

HOME

RESOURCES

RESOURCES

Title VII

Reference Materials

Recorded Training

FAQs

Technical Documents

Upcoming Events

Reporting Calendar

Contacts

External Resources

Reference Materials

Title VII User Guide: Administration for Community Living (ACL) Reporting

This guide provides information and instructions on the OAAPS system, including: user management, data reporting and submission, data review, and analysis reports.

Format: docx/10.052KB
Audience: All Users
Last update: 08-15-2019

Quick Reference Guide: System Overview: Title VII

This quick reference guide provides a summary of the OAAPS system and main navigation.

Format: docx/997KB
Audience: All Users
Last update: 08-15-2019

Quick Reference Guide: User Management: Title VII

This quick reference guide provides a high-level look at each user's profile settings and the administrative controls some users will have.

Format: docx/393KB
Audience: All Users
Last update: 08-15-2019

Quick Reference Guide: Data Reporting and Submission: Title VII

This quick reference guide provides a summary of the OAAPS data reporting and submission process.

Format: docx/743KB
Audience: All Users
Last update: 08-15-2019

Quick Reference Guide: Data Validation: Title VII

This quick reference guide provides a summary of the different OAAPS validation rules and how users can validate their data.

Format: docx/705KB
Audience: All Users
Last update: 08-15-2019

Quick Reference Guide: Reports: Title VII

This quick reference guide provides a high-level summary of the analysis reports available in OAAPS.

Format: docx/306KB
Audience: All Users
Last update: 08-15-2019

Quick Reference Guide: Analysis Reports Detailed Descriptions: Title VII

This quick reference guide provides a table with the scope of the report each user type can create.

Format: docx/820KB
Audience: All Users
Last update: 04-04-2019

Pilot Materials

Testing Scenarios and Feedback Forms

The following Pilot Testing Scenarios and Feedback Forms are to be used during the pilot testing period.

ACL Central Office Users

Includes all test scenarios and the form for providing feedback on issues noted during pilot testing for ACL Central Office users.

Format: docx/1073KB
Audience: ACL Central Office users
Last update: 11-08-2018

State Users

Includes all test scenarios and the form for providing feedback on issues noted during pilot testing for State users.

Format: docx/1073KB
Audience: State users
Last update: 11-08-2018

Training Material Feedback Form

Form for providing feedback on the training and technical assistance materials only.

Format: docx/36KB
Audience: All users
Last update: 11-08-2018

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2.3.3 Footer Navigation

At the bottom of each OAAPS page, users can find quick links to additional resources such as site support links, partner site links, and points of interest links. The footer also contains the ACL logo and copyright information.

OAAPS Footer



2.4 Signing In to OAAPS

All OAAPS users must sign in to enter, submit, or view data and reports.

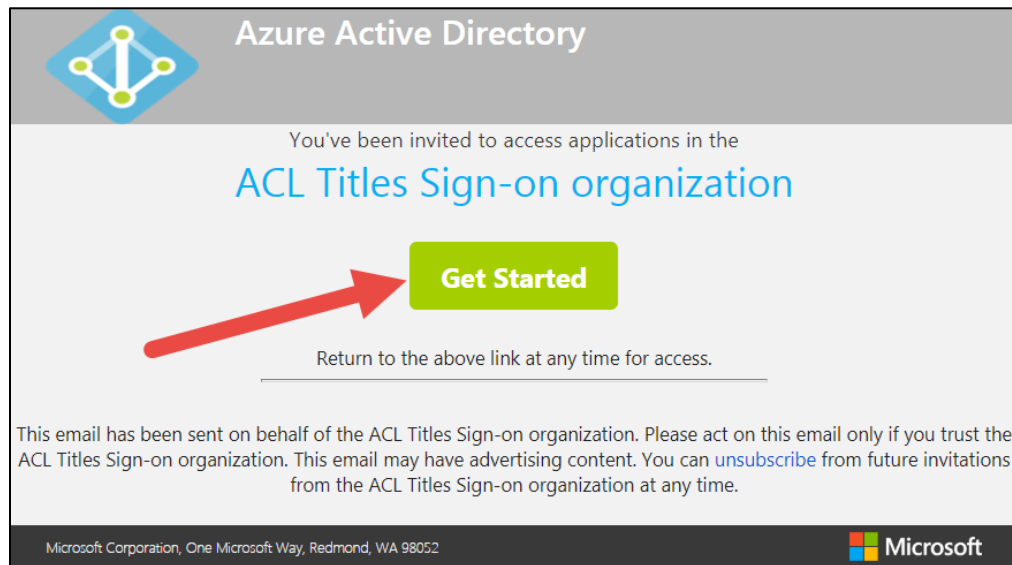
2.4.1 Completing an ACL Titles Sign-on Registration

When a user account is initially created by a State or ACL administrator, the user is sent an invitation email. The email address to which the invitation is sent will be the new user's user ID, so ensure that the administrator has the correct email address. Users must complete the registration process upon receiving this email to finish the creation of the user account.

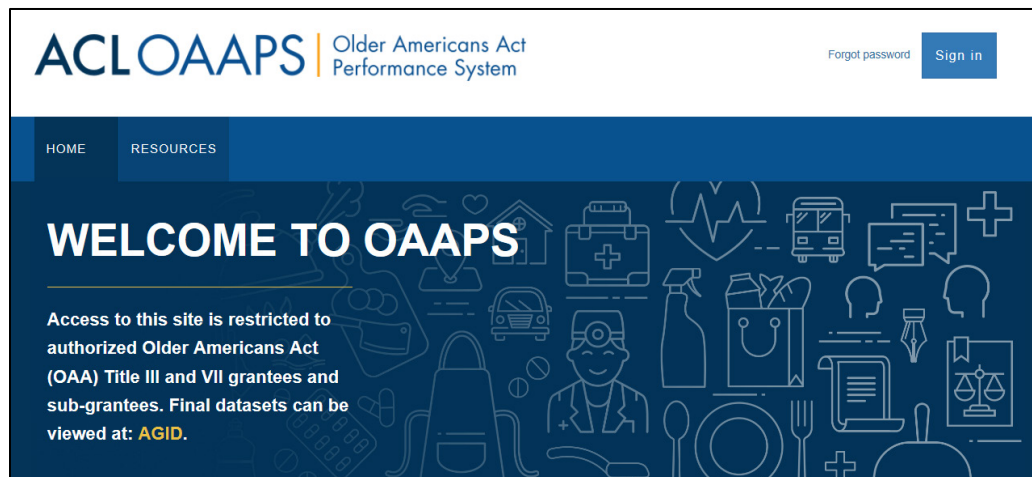
NOTE: *The system generated emails sent out during the registration process will appear as coming from Microsoft Invitations <invites@microsoft.com>. If you do not see these emails in your inbox, please check your spam folder.*

To complete the ACL Titles registration:

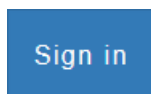
1. In the invitation email, select **Get Started**.



2. Follow the prompts to complete the registration. The prompts are customized to guide new users through the registration process based on whether the user has an existing Microsoft 365/Azure account or not.
 - a. If the user already has a Microsoft (MS) account, follow the prompts to sync the account so it can be used to access OAAPS.
 - b. If the user does not have a Microsoft 365/Azure account, or does not wish to use an existing account, follow the prompts to create a new one.
3. After completing the registration, if not automatically directed there, navigate to the OAAPS Home page.



4. Select **Sign in**.



5. On the Microsoft pages that follow, enter the user ID (email address used when creating the account) and password and select **Sign in**.

Once the user is authenticated and signed in, their Dashboard will display.

2.4.2 Returning User Sign In

To sign in to OAAPS again:

1. From the OAAPS Home Page, select **Sign in**.
2. Enter the user ID and password.

***NOTE:** Some browsers may remember a user ID automatically, or they may show more than one user ID. In such cases, select the appropriate user ID and enter the password.*

3. Select **Sign in**.

Once the user is authenticated and signed in, their Dashboard will display. If a user's sign in failed, they may need to sign out of their other accounts or browsers before successfully signing in. The following possible sign in failure messages may occur:

- If the user ID and password combination is incorrect, you will see a message that says, "Your sign in attempt was not successful. Please try again."
- After 10 attempts, your account will be locked for a period of time, and you will need to return and sign in after one minute at first and longer in subsequent attempts.

2.5 Navigating OAAPS

After signing in to OAAPS, every page of the system has a header that contains the ACL OAAPS logo, a customized greeting that displays the user's ID, and a link to sign out of the system.

OAAPS Header



If a user has to access data related to more than one of the OAA grant programs (For example, ACL Central Office users), a Current Title drop-down list is shown below the sign out link. This list shows the program (SPR, NORS, or Tribal Grants Program) in which the user is currently working, and the user can select the drop-down list to switch to a different program.

Switching Titles Drop-Down List



2.5.1 Main Navigation Tabs

A blue navigation bar below the header provides the main navigation for OAAPS.

OAAPS Main Navigation Bar



The following tabs are available in this navigation bar:

- **Dashboard:** This is the default tab that displays after signing in to OAAPS. It displays information such as submission statuses, reports, resources, and upcoming events. For more information, please see the [Dashboard section](#).
- **Data Submissions:** This tab is where the majority of users complete their tasks. The content of this section will shift, depending on the user's permissions and organizational level (e.g., SUA, LTCOP Office, AAA, and Tribe). In general, users complete the following tasks: input data, validate data, check for variances, submit data for review, and review data. For more information about this section, please see [the Data Reporting and Submissions section](#).
- **Analysis Reports:** This tab contains important reports that users will need to run and access. Depending on a user's permissions, they can view reports, generate reports, and set data exports. For more information about reports, please see [the Reports section](#).
- **Resources:** This tab houses a variety of resources including user guides, recorded webinars, frequently asked questions, technical documents, upcoming events, a reporting calendar, contact information, and more. For more information, please see [the Resources section](#).
- **Administration:** This tab is only available for users with administration permissions. It is where administrators can search, add, and manage users. For more information, please see [the User Management section](#).
- **Profile:** This tab enables users to change their password or profile settings. For more information, please see [the My Profile section](#).

2.5.2 Dashboard Tab

The Dashboard opens automatically when users sign in to OAAPS. From here, users can see an overview of the report(s) that they are able to interact with. The content of the dashboard varies by the user's organizational level.

2.5.2.1 Ombudsman Program User Dashboard

For Ombudsman program users, the Dashboard tab provides a high-level view of their report status. It lists the user's state, the status of their current report, and when the last update was made.

Report Status Table

The screenshot shows the ACLOAAPS dashboard for the Georgia Office of the State Long-Term Care Ombudsman. The top navigation bar includes links to DASHBOARD, DATA SUBMISSIONS, ANALYSIS REPORTS, RESOURCES, ADMINISTRATION, and PROFILE. The main content area is titled 'DASHBOARD' and shows the 'FFY 2017 Reporting Status' as 'In progress'. A red arrow points to the 'DASHBOARD' tab in the navigation bar. Below the status, there is a 'Last Update' section showing the date and time of the last update, and a 'View status history' link. The dashboard also features three main sections: 'Recent System Updates', 'Reporting Calendar', and 'Upcoming Events'. Each section has a 'See all updates', 'See reporting calendar', or 'See all events' button respectively.

FFY 2017 Reporting Status	Last Update
In progress	05/17/2018 at 1:10 PM by erin.dataentry@actitlesmvp.icfcloud.com

View status history

Recent System Updates

- Pilot Sprint 15 Release Summary**
Date: 04/13/2018
Bug fixes, new functionality on Title VII, functionality updates related to user management, dashboard and default preferences on Title III
- Pilot Sprint 14 Release Summary**
Date: 03/23/2018
Bug fixes, new functionality on Title VII, functionality updates related to user management, upload process on Title III

See all updates

Reporting Calendar

- NORS Reporting season open**
Date: 10/01/2018
- NORS submissions due**
Date: 01/31/2019

See reporting calendar

Upcoming Events

- Webinar #1**
Date: 05/30/2018
- Webinar #2**
Date: 06/15/2018
- Webinar #3**
Date: 06/30/2018

See all events

The reporting status can be one of the following values: Not started, In progress, Submitted, In review, Returned to the state for additional information or clarification, Approved, or Locked.

If users want to see the full status history of the report, they can select "View status history".

View Status History Link

DASHBOARD

Georgia Office of the State Long-Term Care Ombudsman

FFY 2017 Reporting Status	Last Update
In progress	05/17/2018 at 1:10 PM by erin.dataentry@acltitlesmvp.icfcloud.com

[View status history](#)

Selecting “View status history” will direct users to a status history table which lists each change to the report’s status. Users are able to print the table, if desired.

Status History Table

DASHBOARD

Status History

[Go back to dashboard](#)
[Print status history](#)

Status	Last Update	Comments
In progress	05/17/2018 at 1:10 PM by erin.dataentry@acltitlesmvp.icfcloud.com	

If users want to view reports from other years, they can do so using the Reporting Period drop-down list. This drop-down list shows all available reporting periods.

Reporting Period Drop-Down List

DASHBOARD

Georgia Office of the State Long-Term Care Ombudsman


FFY 2017 Reporting Status	Last Update
In progress	05/17/2018 at 1:10 PM by erin.dataentry@acltitlesmvp.icfcloud.com

[View status history](#)

Reporting Period: FFY 2017 ▼

At the bottom of the Dashboard tab, Ombudsman program users can see a list of recent system updates, important reporting calendar dates, and upcoming events, like webinars.

Recent System Updates, Reporting Calendar, and Upcoming Events




Recent System Updates

Pilot Sprint 15 Release Summary
Date: 04/13/2018
Bug fixes, new functionality on Title VII, functionality updates related to user management, dashboard and default preferences on Title III

Pilot Sprint 14 Release Summary
Date: 03/23/2018
Bug fixes, new functionality on Title VII, functionality updates related to user management, upload process on Title III

See all updates




Reporting Calendar

NORS Reporting season open
Date: 10/01/2018

NORS submissions due
Date: 01/31/2019

See reporting calendar



Upcoming Events

Webinar #1
Date: 05/30/2018

Webinar #2
Date: 06/15/2018

Webinar #3
Date: 06/30/2018

See all events

2.5.2.2 ACL Staff User Dashboard

For ACL staff users, the Dashboard tab displays the report statuses for all regions and states that the user can access. Rather than list all of the states and their statuses, the State Submission Statuses table provides a count for how many state reports are in each status.

State Submissions Table

DASHBOARD
DATA SUBMISSIONS
ANALYSIS REPORTS
RESOURCES
ADMINISTRATION
PROFILE


DASHBOARD

Reporting Period: FFY 2017

FFY 2017 State Submission Statuses

All Regions

Not Started	In Progress	Submitted	In Review	Returned	Approved	Locked	Total
28	19	0	3	2	0	0	52




Recent System Updates

Pilot Sprint 15 Release Summary
Date: 04/13/2018
Bug fixes, new functionality on Title VII, functionality updates related to user management, dashboard and default preferences on Title III

Pilot Sprint 14 Release Summary
Date: 03/23/2018
Bug fixes, new functionality on Title VII, functionality updates related to user management, upload process on Title III

See all updates




Reporting Calendar

NORS Reporting season open
Date: 10/01/2018

NORS submissions due
Date: 01/31/2019

See reporting calendar



Upcoming Events

Webinar #1
Date: 05/30/2018

Webinar #2
Date: 06/15/2018

Webinar #3
Date: 06/30/2018

See all events

ACL staff users are able to filter the regions in the table by selecting a specific region in the All Regions drop-down list. If users would like to change the default states shown in the table, they can change their states options in their profile. For more information, please see the [Default States section](#).

Regional Drop-Down List



The screenshot shows the ACL dashboard with the 'DASHBOARD' tab selected. The 'Reporting Period' is set to 'FFY 2017'. The 'All Regions' dropdown menu is highlighted with a red arrow. Below the dropdown is a table titled 'FFY 2017 State Submission Statuses'.

Not Started	In Progress	Submitted	In Review	Returned	Approved	Locked	Total
28	19	0	3	2	0	0	52

ACL users can also view reports from other years using the Reporting Period drop-down list. This drop-down list shows all viewable reporting periods.

Reporting Period Drop-Down List



The screenshot shows the ACL dashboard with the 'DASHBOARD' tab selected. The 'Reporting Period' dropdown menu is highlighted with a red arrow. Below the dropdown is a table titled 'FFY 2017 State Submission Statuses'.

Not Started	In Progress	Submitted	In Review	Returned	Approved	Locked	Total
28	19	0	3	2	0	0	52

At the bottom of the Dashboard tab, ACL staff users can see a list of recent system updates, important reporting calendar dates, and upcoming events, like webinars.

Recent System Updates, Reporting Calendar, and Upcoming Events

The screenshot displays three panels on a dashboard:

- Recent System Updates** (Icon: Document):
 - Pilot Sprint 15 Release Summary**
Date: 04/13/2018
Bug fixes, new functionality on Title VII, functionality updates related to user management, dashboard and default preferences on Title III
 - Pilot Sprint 14 Release Summary**
Date: 03/23/2018
Bug fixes, new functionality on Title VII, functionality updates related to user management, upload process on Title III[See all updates](#)
- Reporting Calendar** (Icon: Lightbulb):
 - NORS Reporting season open**
Date: 10/01/2018
 - NORS submissions due**
Date: 01/31/2019[See reporting calendar](#)
- Upcoming Events** (Icon: Calendar):
 - Webinar #1**
Date: 05/30/2018
 - Webinar #2**
Date: 06/15/2018
 - Webinar #3**
Date: 06/30/2018[See all events](#)

2.5.3 Data Submissions

Depending on a user's organizational level, the Data Submissions tab provides:

- Information about the status of a report(s),
- Options for managing submissions, or
- Options for reviewing submissions.

To navigate to the Data Submissions tab:

1. On the main navigation bar, select the **Data Submissions** tab.



2.5.3.1 Ombudsman Program User Data Submission Tab

For Ombudsman program users, the Data Submissions tab provides information about the status of their report and gives them options for entering data, completing their report, and managing their submission.

Data Submissions Tab for Ombudsman Program Users

DASHBOARD
DATA SUBMISSIONS
ANALYSIS REPORTS
RESOURCES
ADMINISTRATION
PROFILE

DATA SUBMISSIONS

Reporting Period: FFY 2017

Current Reporting

Overview

Manage Uploads

Cases and Complaints

Complaint Examples

Systems Issues

Organizational Structure

Staff and Volunteers

Organizational Conflicts of Interest

Funds Expended

Facility

Program Activities

Variance Analysis

Explanation of Variances

Overview

Overall reporting status: In progress Export all data

Section	Data Entry Status	Last Update	Actions
Cases and Complaints	Not started		Upload data
Complaint Examples	Not started		Enter data
Systems Issues	In progress	05/17/2018 at 1:10 PM by erin.dataentry@acltitlesmvp.icfcloud.com	Enter data
Organizational Structure	Not started		Enter data Upload data
Staff and Volunteers	Not started		Enter data Upload data
Organizational Conflicts of Interest	Not started		Enter data
Funds Expended	Not started		Enter data Upload data
Facility	Not started		Enter data Upload data
Program Activities	Not started		Enter data Upload data

1

2

3

VALIDATE ALL DATA

Validate data in all components.

GENERATE VARIANCES

Provide explanations for variances where necessary.

SUBMIT FOR REVIEW

Submit data to ACL for review.

The Data Submissions tab is broken into multiple sections that enable users to upload, enter, and edit different report data. Most sections coincide with the sections of the annual performance report. The sections are grouped under two menus: the Current Reporting menu and the Variance Analysis menu.

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Data Submission Sections

Current Reporting

Overview

Manage Uploads

Cases and Complaints

Complaint Examples

Systems Issues

Organizational Structure

Staff and Volunteers

Organizational Conflicts of Interest

Funds Expended

Facility

Program Activities

Variance Analysis

Explanation of Variances

2.5.3.1.1 Overview Section

When Ombudsman program users select the Data Submissions tab, the Overview section displays by default.

Overview Section

Overview

Overall reporting status: In progress Export all data

Section	Data Entry Status	Last Update	Actions
Cases and Complaints	Validated	05/22/2018 at 10:43 AM by erin.dataentry@acltitlesmvp.icfcloud.com	View data Upload data
Complaint Examples	In progress with errors	05/22/2018 at 10:34 AM by erin.dataentry@acltitlesmvp.icfcloud.com	Enter data Validate section View Errors
Systems Issues	In progress	05/30/2018 at 8:33 PM by erin.dataentry@acltitlesmvp.icfcloud.com	Enter data
Organizational Structure	In progress	05/22/2018 at 2:36 PM by erin.dataentry@acltitlesmvp.icfcloud.com	Enter data Upload data Validate section
Staff and Volunteers	In progress	05/22/2018 at 2:36 PM by erin.dataentry@acltitlesmvp.icfcloud.com	Enter data Upload data Validate section
Organizational Conflicts of Interest	Not started		Enter data
Funds Expended	In progress	05/22/2018 at 2:36 PM by erin.dataentry@acltitlesmvp.icfcloud.com	Enter data Upload data Validate section
Facility	In progress	05/22/2018 at 2:36 PM by erin.dataentry@acltitlesmvp.icfcloud.com	Enter data Upload data Validate section
Program Activities	In progress	05/22/2018 at 2:36 PM by erin.dataentry@acltitlesmvp.icfcloud.com	Enter data Upload data Validate section

1
VALIDATE ALL DATA
Validate data in all components.

2
GENERATE VARIANCES
Provide explanations for variances where necessary.

3
SUBMIT FOR REVIEW
Submit data to ACL for review.

The Overview section contains an overall status of the user's current report, the ability to export the report, details about the status of each report section, and tools to complete and submit the report.

2.5.3.1.1.1 SECTION STATUS TABLE

The Section Status Table in the Overview section includes important features and functions that help Ombudsman program users manage all aspects of the reporting process. Each row of the Section Status Table represents a report section, and the table below describes what each column contains:

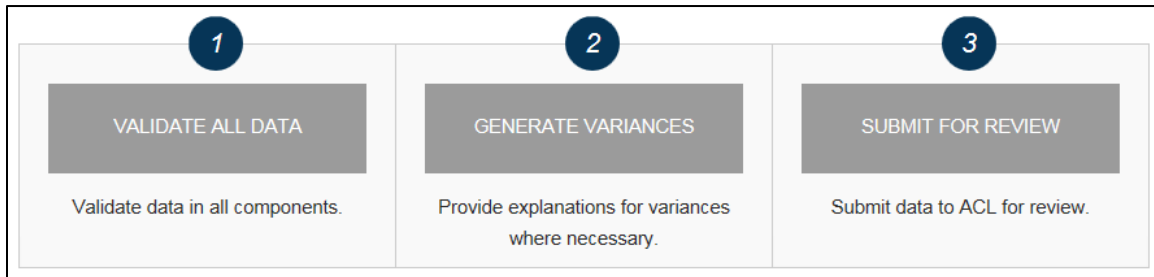
Column Name	Description	Field Values/Example
Section	This column lists all the sections included in the report.	<ul style="list-style-type: none">• Cases and Complaints• Complaint Examples• System Issues• Organizational Structure• Staff and Volunteers• Organizational Conflict of Interest• Funds Expended• Facility• Program Activities
Data Entry Status	This measures the user's progress in each section of the report.	<ul style="list-style-type: none">• Not started• In progress• In progress with errors• Validated• Variance explanations required• Variance explanations provided• No significant variances• Submitted• In review• Approved• Returned
Last Update	This tells the user when data was last entered or edited, including who edited or entered the data. It also includes the editor's user ID.	05/17/2018 at 1:10 PM by [user's ID]
Actions	This identifies what action the user can perform for each report section.	<ul style="list-style-type: none">• Enter data• Upload data• Validate section• Enter explanations• View errors• View data

2.5.3.1.1.2 TOOLS TO COMPLETE AND SUBMIT REPORTS

At the bottom of the Overview section, users find the following three tasks required to complete the report after they have uploaded and entered all their data:

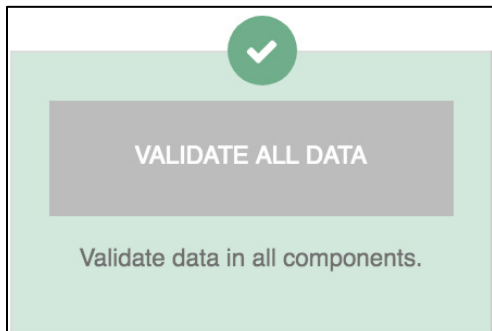
1. Validate All Data
2. Generate Variances
3. Submit for Review

Report Completion Tasks – Not Started



Ombudsman program users must complete each step in order. For example, users cannot generate the two-year variance report until they have validated data in all sections of the report. Once a step is complete, it will be highlighted in green.

Report Completion Tasks – First Task Completed



For more information about these steps, please see the [ACL Staff User Tasks section](#).

2.5.3.1.2 Manage Uploads Section

The Manage Uploads page enables Ombudsman program users to upload, review, merge, or overwrite data files.

Manage Uploads Section – Before Files are Uploaded

The screenshot shows the 'DATA SUBMISSIONS' section of the ACLOAAPS system. The top navigation bar includes 'DASHBOARD', 'DATA SUBMISSIONS', 'ANALYSIS REPORTS', 'RESOURCES', 'ADMINISTRATION', and 'PROFILE'. The 'DATA SUBMISSIONS' section has a 'Reporting Period: FFY 2017' dropdown. On the left, there is a sidebar with 'Current Reporting' options: 'Overview', 'Manage Uploads' (selected), 'Cases and Complaints', and 'Complaint Examples'. The main content area is titled 'Manage Uploads' and contains the text: 'No files have been uploaded yet. To upload a new file or download templates, go to the upload new file page.' Below this text is a blue button labeled 'Upload a new file'.

Manage Uploads Section – After Files are Uploaded

The screenshot shows the 'Manage Uploads' section after files have been uploaded. It includes a blue button 'Upload a new file' in the top right. Below the button is the 'Upload Log' section, which contains a table with the following data:

File	Type	Sections Included	Comments
VIIUploadSample.csv 11/30/2018 at 8:50 AM by erin.dataentry@acltitlesmvp.icfcloud.com	Merge	Organizational Structure Staff and Volunteers ...more	Updating data
VIIUploadSample.csv 11/30/2018 at 8:47 AM by erin.dataentry@acltitlesmvp.icfcloud.com	New data	Organizational Structure Staff and Volunteers ...more	Data to upload

The following table shows which data must be uploaded and which data can be uploaded or manually entered:

Upload Only	Upload or Manually Enter
<ul style="list-style-type: none"> Cases and Complaints 	<ul style="list-style-type: none"> Organization Structure Staff and Volunteers Funds Expended Facility Program Activities

Note: Complaint Examples, System Issues and Organizational Conflict of Interest sections can only be manually entered.

2.5.3.1.2.1 UPLOAD LOG TABLE

Once files have been uploaded to OAAPS, the Manage Uploads section will contain an Upload Log table that displays the following information about each file uploaded:

Column Name	Description
File	This column includes the name of the file that was uploaded, the date and time of the upload, and the user ID of the person who uploaded the file.
Type	This column explains the type of file that was uploaded. The following file types may be included: <ul style="list-style-type: none">• New data: The file contains data that was not previously uploaded.• Overwrite: The file replaces data that was previously uploaded.• Merge: The file contains data that was merged with previously uploaded data.
Sections Included	This column lists the report sections that were included in the upload.
Comments	This column includes comments that the user entered on the Upload File page when they uploaded the file. This is not a required field and can be left blank.

For more information about uploading and editing files, please see the [Uploading Data Files section](#).

2.5.3.1.3 Cases and Complaints Section

Data for the Cases and Complaints section of the state report must be uploaded. Once data have been uploaded, the Cases and Complaints section takes the uploaded data and populates tables showing the reported data.

Cases and Complaints Section

Cases and Complaints Data

Case and complaint data cannot be entered manually. Please upload the case and complaint data using the appropriate template.

Case Summary

Total number of cases closed:

Total Cases per Complainant by Facility or Setting

Complainant	Nursing Facility	Residential Care Community	Other Setting	Total per Complainant
Resident	5	1	0	6
Resident Representative, Friend, Family	1	3	2	6
Ombudsman Program	3	13	0	16
Facility staff	1	2	0	3
Representative of other agency or program or organization	1	0	0	1
Concerned person	2	0	0	2
Resident or family council	1	34	0	35
Unknown	0	16	0	16
Total per facility or setting	14	69	2	85

Complaint Summary

Total number of complaints:

Category of Complaints by Type of Facility [Expand all](#) | [Collapse all](#)

Complaint Category/Code (expand to see totals broken out by complaint code)	Nursing Facility	Residential Care Community	Other Setting	Total per Category/Code
✚ A. Abuse, Gross Neglect, Exploitation	3	8	0	11
✚ B. Access to Information	0	5	0	5
✚ C. Admission, transfer, discharge, eviction	2	4	0	6
✚ D. Autonomy, choice, rights	0	10	1	11
✚ E. Financial, property	2	3	0	5
✚ F. Care	1	14	0	15
✚ G. Activities and community integration and social services	2	4	0	6
✚ H. Dietary	1	3	0	4
✚ I. Environment	0	7	0	7
✚ J. Facility policies, procedures and practices	0	4	0	4
✚ K. Complaints about an outside agency (non-facility)	2	4	1	7
✚ L. System and others (non-facility)	1	3	0	4

Complaint Verifications

Verification Status	Nursing Facility	Residential Care Community	Other Setting	Total by Verification
Verified	7	24	1	32
Not verified	7	45	1	53

Complaint Dispositions

Disposition Outcome	Nursing Facility	Residential Care Community	Other Setting	Total by Disposition
Partially or fully resolved to the satisfaction of the resident, resident representative or complainant	1	11	0	12
Withdrawn or no action needed by the resident, resident representative or complainant	12	56	1	69
Not resolved to the satisfaction of the resident, resident representative or complainant	1	2	1	4

The table below highlights the data tables included in the Cases and Complains section:

Table Name	Description
Case Summary	This table shows the number of closed cases and a breakdown of how many cases there were for each complaint type in either a nursing facility, residential care community, or other setting.
Complaint Summary	This table shows the number of complaints and a breakdown of how many complaints there were for each complaint category in either a nursing facility, residential care community, or other setting.
Complaint Verifications	This table breaks down the number of verified and unverified complaints in either a nursing facility, residential care community, or other setting.
Complaint Dispositions	This table separates the number of complaint dispositions by type of outcome in either a nursing facility, residential care community, or other setting.

2.5.3.1.4 Complaint Examples Section

The Complaint Examples Section is where Ombudsman program users must manually enter information regarding at least two, and up to three, complaints during the reporting period. These are entered on separate pages under the Complain Examples section. There is also a page for an optional third example.

If case and complaint data have been uploaded, users can look up a case number to pre-fill the information. Otherwise, they must manually enter the details about the complaint.

Complaint Examples Section

Current Reporting

Overview

Manage Uploads

Cases and Complaints

Complaint Examples

Nursing Facility

Residential Care Community

Optional Example

Systems Issues

Organizational Structure

Staff and Volunteers

Organizational Conflicts of Interest

Funds Expended

Facility

Program Activities

Variance Analysis

Explanation of Variances

Complaint Examples - Nursing Facility

All fields are required.

Provide information regarding two to three complaints during the reporting period. Select one example from a Nursing Facility, and one from a Residential Care Community facility. A third example is optional.

If case and complaint data has been uploaded, there is the option to look up a case number to pre-fill the information. Otherwise, manually enter the details about the complaint.

Look up case/complaint from uploaded data

Facility or setting

Nursing Facility

Description

0 of 3400 characters

Complaint category

Complaint code

Verification

☐ Verified ☐ Not verified

Disposition

Disposition narrative

0 of 3400 characters

Save and next

Save

Return to Overview

2.5.3.1.5 System Issues Section

In the System Issues section, Ombudsman program users must manually enter at least two, and up to three, priority long-term care systems issues. Each issue, including the optional one, has a separate page where the needed data are entered.

System Issues Section

Current Reporting

Overview

Manage Uploads

Cases and Complaints

Complaint Examples

Systems Issues

Systems Issue 1

Systems Issue 2

Optional Systems Issue

Organizational Structure

Staff and Volunteers

Organizational Conflicts of Interest

Funds Expended

Facility

Program Activities

Variance Analysis

Explanation of Variances

Systems Issues - Systems Issue 1

All fields are required.

Describe at least two and up to three priority long-term care systems issues identified by the Ombudsman. Describe the leadership and advocacy activities the Office used to address these systems issues.

Systems issue category

F - Care

Problem description

0 of 3400 characters

Barriers description

0 of 3400 characters

Issue status

Affected Setting

☐ Not specific to a setting

Select all that apply

☐ Nursing Facility

☐ Residential Care Community

Resolution Strategies

Select all that apply

☐ Provided information to public or public agency

☐ Provided Information to legislator or legislative staff

☐ Recommended changes to laws, regulations, policies or actions through written or oral testimony.

☐ Provided leadership or participated on a task force

☐ Provided information to the media

☐ Provided educational forums; facilitated public comment on laws, regulations, policies or actions

☐ Developed and disseminated information

☐ Legal action where an Ombudsman program initiates legal action

☐ Engaged in LTC facility corporate wide strategy including providing information or recommendations to corporate leadership

Other Resolution Strategies

+ Add a resolution strategy not included above

Resolution Description

0 of 3400 characters

Save and next

Save

Return to Overview

2.5.3.1.6 Organizational Structure Section

Ombudsman program users may either upload or manually enter data in the Organizational Structure section. In the fields provided, users must indicate the location of the Office of the State Long Term Care Ombudsman (LTCO) and the location of local Ombudsman entities, if applicable.

Organizational Structure Section

Current Reporting	Organizational Structure
Overview	All fields are required.
Manage Uploads	Organization Location
Cases and Complaints	Location of Office of State LTCO <input type="text"/>
Complaint Examples	Local Ombudsman Entities
Systems Issues	For states choosing to operate a decentralized model using local Ombudsman entities, specify the type of agency and the number of local Ombudsman entities located in each type.
Organizational Structure	<input type="checkbox"/> There are no local Ombudsman entities in the state
Staff and Volunteers	Area agency on aging (AAA) <input type="text"/>
Organizational Conflicts of Interest	Non-profit agency, with 501(c)(3) status <input type="text"/>
Funds Expended	Legal services provider <input type="text"/>
Facility	Stand-alone non-profit agency <input type="text"/>
Program Activities	Total number of entities <input type="text" value="0"/>
Variance Analysis	Other locations
Explanation of Variances	+ Add another location not listed above
	Save and next Save Return to Overview

2.5.3.1.7 Staff and Volunteers Section

For the staff and volunteers report section, Ombudsman program users may either upload or manually enter data. If they choose to manually enter data, they can do so in the Staff and Volunteers section. Users provide information about the total number of staff and the FTE's who work on behalf of the Ombudsman program.

Staff and Volunteers Section

Current Reporting	Staff and Volunteers
<div>Overview</div> <div>Manage Uploads</div> <div>Cases and Complaints</div> <div>Complaint Examples</div> <div>Systems Issues</div> <div>Organizational Structure</div> <div>Staff and Volunteers</div> <div>Organizational Conflicts of Interest</div> <div>Funds Expended</div> <div>Facility</div> <div>Program Activities</div>	<p>All fields are required.</p> <p>This is a total count of staff that work full-time and part-time for the Ombudsman program as of the last day of the fiscal year (September 30).</p> <div>Office of State Ombudsman Staff</div> <div>Total staff</div> <div>Total full-time equivalent (FTE)</div> <div>Total state volunteer representatives</div> <div>Total hours donated by state volunteers representatives</div> <div>Total other volunteers (not representatives)</div> <div>Local Ombudsman Entity Staff</div> <div><input type="checkbox"/> Not applicable</div> <div>Total staff</div> <div>Total full-time equivalent (FTE)</div> <div>Total local volunteer representatives</div> <div>Total hours donated by local volunteers representatives</div> <div>Total other volunteers (not representatives)</div> <div><div>Save and next</div><div>Save</div><div>Return to Overview</div></div>
<div>Variance Analysis</div> <div>Explanation of Variances</div>	

2.5.3.1.8 Organizational Conflicts of Interest Section

Ombudsman program users must manually select from the list of organizational conflicts of interest (or add any conflict not on the list) and the steps taken by the State agency and the Ombudsman to remedy or remove the conflicts.

NOTE: For the first year, there will be no organizational conflict data already entered into the system. Ombudsman program users must enter each conflict manually. In the following year, they can select from the conflicts entered the prior year.

In subsequent years, Ombudsman program users may select ongoing conflicts from last year's submission or add a new one. If they add a new conflict, they must select the type and location of the conflict from drop down lists and include a description of the steps taken using less than 3,400 characters (or about 500 words). If there are no identified conflicts among the State office or local Ombudsman entities, in the middle of the page, Ombudsman program users may select the "No conflicts were identified among the State Office or local Ombudsman entities" checkbox.

Organizational Conflicts of Interest Section

Current Reporting

Overview

Manage Uploads

Cases and Complaints

Complaint Examples

Systems Issues

Organizational Structure

Staff and Volunteers

Organizational Conflicts of Interest

Organizational Conflicts of Interest

All fields are required.

Select the types of organizational conflicts of interest identified and describe steps taken by the State agency and the Ombudsman to remedy or remove identified conflicts.

You may enter new conflicts of interest or select ongoing conflicts from last year's submission.

Select from last year's submission

☐ No conflicts were identified among the state Office or local Ombudsman entities

+ Add a Conflict of Interest

Save and next

Save

Return to Overview

2.5.3.1.9 Funds Expended Section

Ombudsman program users must report funds expended on Ombudsman program activities authorized under OAA. Amounts which were budgeted or obligated, but not spent should not be included. In-kind resources should not be included. Users can add or edit additional federal, state, and local funding sources by selecting the appropriate drop-down menu on this page.

Ombudsman program users may either upload or manually enter data for the funds expended report section. If users choose to manually enter the data, they can do so in the Funds Expended section.

Funds Expended Section

Current Reporting	
Overview	
Manage Uploads	
Cases and Complaints	
Complaint Examples	
Systems Issues	
Organizational Structure	
Staff and Volunteers	
Organizational Conflicts of Interest	
Funds Expended	
Facility	
Program Activities	
Variance Analysis	
Explanation of Variances	

Funds Expended

All fields are required.

Funds Expended from Older Americans Act (OAA) Sources.
Only include funds which were expended on Ombudsman program activities authorized under Section 712.

Funds Expended from Older Americans Act (OAA) Sources

OAA Title VII - Chapter 2	\$		Dollars
OAA Title VII - Chapter 3	\$		Dollars
OAA Title III - State level	\$		Dollars
OAA Title III - AAA level	\$		Dollars

Additional Federal Sources

☐ There are no other Federal sources

Total other Federal funds expended

\$		Dollars
----	--	---------

[Add/Edit other Federal sources](#)

State Sources

☐ There are no State sources

Total other State funds expended

\$		Dollars
----	--	---------

[Add/Edit other State sources](#)

Additional Local Sources

☐ There are no other Local sources

Total other Local funds expended

\$		Dollars
----	--	---------

[Add/Edit other Local sources](#)

All Funds Expended

Grand total dollars expended from all sources

\$	0.00	Dollars
----	------	---------

[Save and next](#) [Save](#) [Return to Overview](#)

NOTE: Because all fields are required, each field must have a value. If there is no data for a field, enter a zero. For data that has an option to select "There are no... sources," if there is no data, users can select that checkbox and will not have to enter any value (including zero) into that field.

2.5.3.1.10 Facility Section

For the facility report section, Ombudsman program users may either upload or manually enter data. If they choose to manually enter data, they can do so in the Facility section.

Facility Section – Numbers and Capacity

Current Reporting

Overview

Manage Uploads

Cases and Complaints

Complaint Examples

Systems Issues

Organizational Structure

Staff and Volunteers

Organizational Conflicts of Interest

Funds Expended

Facility

Numbers and Capacity

RCC Information

Program Activities

Facility - Numbers and Capacity

All fields are required.

Report for both Nursing Facilities and Residential Care Communities, in the appropriate section, the number of facilities which were licensed (or registered, listed, certified, or otherwise regulated) by a state during the reporting period and the resident capacity (number of beds) of those facilities.

Licensed Nursing Facilities

Total number

Total resident capacity

Residential Care Communities

Total number

Total resident capacity

Save and next

Save

Return to Overview

Users must report the number and capacity (number of beds) of nursing homes and residential care communities (RCCs).

Users must also provide the following specific information about RCCs in their state:

- The names of the type of RCCs
- The state's definition for these facilities
- The minimum and maximum number of beds permitted by the license or other regulatory designation, if applicable
- Indicate no minimum or maximum, if applicable

Users have the ability to copy over this data from previous years by selecting **Select from last year's submission**.

Select from Last Year's Submission Button

Facility - Residential Care Community (RCC) Information

All fields are required.

Indicate the name of the type of facilities which are licensed (registered, listed, certified, or otherwise regulated) and the state's definition for these facilities, and capacity range (i.e. minimum and maximum number of beds permitted by the license or other regulatory designation).

Select from last year's submission

+ Add RCC

Save and next

Save

Return to Overview

NOTE: For the first year that OAAPS is released, all data must be entered. It cannot be pulled from the previous year.

2.5.3.1.11 Program Activities Section

Ombudsman program users may either upload or manually enter their program activities data. If users choose to manually enter data, they can do so in the Program Activities section. To save time, users can upload their data and review it in the Program Activities section. This section is where Ombudsman users must report on other types of program activities, such as visits, work with resident and family councils, etc.

Program Activities Section

Current Reporting

Overview

Manage Uploads

Cases and Complaints

Complaint Examples

Systems Issues

Organizational Structure

Staff and Volunteers

Organizational Conflicts of Interest

Funds Expended

Facility

Program Activities

Program Activities

All fields are required.

Provide information on Ombudsman program activities other than work on complaints.

Training

Certification training hours

Training hours required to maintain certification

Number of new individuals completing certification training

Ombudsman Program Activities

Information and assistance to individuals

Community education

Ombudsman Program Activities - Facilities

Activity	Nursing Facility	Residential Care Community
Training sessions for facility staff		
Information and assistance to staff		
Number of facilities that received one or more visits		
Number of visits for all facilities		
Number of facilities that received routine access		
Total participation in facility survey		
Resident council participation		
Family council participation		

State and Local Level Coordination Activities

☐ There are no state and local level coordination activities

☐ Area agency on aging programs

☐ Aging and disability resource centers

☐ Adult protective services programs

☐ Protection and advocacy systems

☐ Facility and long-term care provider licensure and certification programs

☐ The State Medicaid fraud control unit

☐ Victim assistance programs

☐ State and local law enforcement agencies

☐ Courts of competent jurisdiction

☐ The State legal assistance developer and legal assistance programs

☐ Centers for Independent Living

Other Coordination Activities

+ Add a state and local coordination activity not listed above

Save and next

Save

Return to Overview

2.5.3.1.12 Explanation of Variances Section

The Explanation of Variances section is where Ombudsman program users provide explanations for variances in their report data. This section is only accessible after users have generated the variances for their report.

Explanation of Variances Section

DATA SUBMISSIONS

Reporting Period: FFY 2017

Current Reporting

Overview

Manage Uploads

Cases and Complaints

Complaint Examples

Systems Issues

Organizational Structure

Staff and Volunteers

Organizational Conflicts of Interest

Funds Expended

Facility

Program Activities

Explanation of Variances - Cases and Complaints

Expand all | Collapse all

+ Cases by Facility or setting

+ Complaints by Complainant Type

+ Complaints by Complaint Group

+ Complaints by Verification Type

+ Complaints by Disposition

Next

Return to Overview

Variance Analysis

Explanation of Variances

Cases and Complaints

Organizational Structure

Staff and Volunteers

Funds Expended

Facility

Program Activities

For more information about how to generate variances and enter explanations, please see the [Step 3: Identify/Explain Variances section](#).

2.5.3.2 ACL Staff Data Submissions Tab

For ACL staff users, the Data Submissions tab provides the functions and features that enable ACL staff users to monitor the status of one or multiple states throughout the submission process. This tab enables ACL staff users to review the actual data that Ombudsman program users submit, and to return the submission for clarification or additional information. It also permits ACL staff users to approve and lock submissions. ACL staff cannot view state data before a state submits them (i.e., data that are “In Progress”).

Data Submissions Tab for ACL Staff Users

DASHBOARD	DATA SUBMISSIONS	ANALYSIS REPORTS	RESOURCES	ADMINISTRATION	PROFILE ▾
DATA SUBMISSIONS					
FFY 2017 All State Submissions Show filters					
Actions on multiple states ▾					
State	Region	FFY	Status	Last Update	Actions
DC	3	2017	In progress	5/16/2018 at 4:27 PM by Skyler.Murphy@icf.com	
DE	3	2017	Not started		
MD	3	2017	Not started		
PA	3	2017	In progress	5/2/2018 at 2:00 PM by Nick.Ngugi@icf.com	
VA	3	2017	In review	5/4/2018 at 1:52 PM by adrian.cole@icf.com	View
WV	3	2017	Not started		

2.5.3.2.1 All State Submissions Table

The All State Submissions table shows all the states that the ACL staff user is able to monitor and interact with.

ACL staff users can customize their view in different ways by selecting default states and regions in their profile settings or by filtering their view. For more information about profile settings, please see the [Default States section](#). If users have too many states to view on one page, they can use the table filters to narrow down the states shown. ACL staff users are able to filter by:

- Region/State Group
- State
- Federal Fiscal Year
- Status
- Last Date Updated

Filters for the All State Submissions Table

FFY 2017 All State Submissions Hide filters

Region / State Group

Region 3

Status

Select all / Deselect all

☒ Not Started

☒ In Progress

☒ Submitted

☒ In Review

☒ Returned

☒ Approved

☒ Locked

Last Updated

From To

State

All

Federal Fiscal Year

2017

Close filters Clear filters

If a state report has been submitted, ACL staff users can begin interacting with state data using the Actions column of the table.

All State Submissions Table - Action Column

FFY 2017 All State Submissions Show filters

Actions on multiple states

State	Region	FFY	Status	Last Update	Actions
CT	1	2017	In review	7/2/2018 at 10:31 AM by eddie.dataentry@actitlesmvp.icfcloud.com	View
MO	7	2017	Submitted	6/26/2018 at 11:48 AM by Adrian.Cole1@actitlesmvp.icfcloud.com	View
PR	2	2017	Submitted	6/7/2018 at 10:47 AM by eddie.dataentry@actitlesmvp.icfcloud.com	View

Depending on their permissions, ACL staff users can also change the status, lock, or unlock multiple states at once using the Actions on multiple states drop-down list.

Actions on Multiple States Drop-Down list

FFY 2017 All State Submissions Show filters

Actions on multiple states

Change status to In Review

Lock data

Unlock data

FFY	Status	Last Update	Actions
-----	--------	-------------	---------

2.5.3.2.2 State Submission Review Page

The State Submission Review page enables ACL staff users to begin, track, and complete their review of the states they are assigned to review.

To Access a State's Submission Review Page:

1. In the main navigation bar, select Data Submissions.



2. In the All State Submissions table, locate the state under review.

FFY 2017 All State Submissions [Show filters](#)

Actions on multiple states

State	Region	FFY	Status	Last Update	Actions
HI	9	2017	In review	5/16/2018 at 10:38 AM by eddie.dataentry@acltitlesmvp.icfcloud.com	View
ME	1	2017	Locked	5/18/2018 at 3:39 PM by jmajoros@burlingtontelecom.net	View
SC	4	2017	In review	5/18/2018 at 2:47 PM by eddie.dataentry@acltitlesmvp.icfcloud.com	View
SD	8	2017	In review	5/10/2018 at 12:00 PM by eddie.dataentry@acltitlesmvp.icfcloud.com	View
VA	3	2017	In review	5/4/2018 at 1:52 PM by adrian.cole@icf.com	View

3. In the Action column for that state, select **View**.



From the State Submission Review page, ACL staff users can view data and variance explanations for a state. They can also export a copy of the data and view a report's submission history.

ACL staff users complete their review of a state's report by entering their decision and comments on the State Submission Review page.

For more information about the review process, please see the [Step 2: Reviewing Submissions section](#).

State Submission Review Page

DATA SUBMISSIONS

State: Virginia FFY: 2017

Go back to state listing

State Submission Review

Status: In review

View state data

View submitted state data in forms

View explanation of variances

View submitted explanations of variances

Export state submission

Download state data in Excel format

View submission status history

View a history of submission status changes

Begin review

Review Decision (Required)

▼

Review Comments (Required)

0 of 3400 characters

Submit review decision

Save draft review

1

Reports

Two-Year Compare Report

Compare data reported across the current submission and last year

Multi-Year Complaint Trend Report

View complaint trends for the past five consecutive years

Generate other reports

2.5.4 Analysis Reports Tab

The Analysis Reports tab provides all users with a variety of built-in reports.

Analysis Reports Tab

The screenshot shows the 'ANALYSIS REPORTS' tab selected in the top navigation bar. Below the navigation bar, the page title 'ANALYSIS REPORTS' is displayed. A note states 'All reports are created in Microsoft Excel.' The main content area contains seven report cards arranged in two rows. Each card has a title, a horizontal line, and a brief description of the report's content.

Report Title	Description
Activity Analysis Report	Includes the breakdown of activity data for a range of two to five years.
Complaint Analysis by Complainant Type	Includes the breakdown of all 59 complaint codes by complainant type.
Complaint Analysis by Complaint Code Report	Includes the breakdown of verification, resolution and referral data for all 59 complaint codes by facility setting.
Multi-Year Complaint Trend	The Multi-Year Complaint Trend Report shows trends in data across a two to five year range. The report shows trends in cases, complaint categories and codes, complaint disposition and complaint verification in all settings.
Table A - Selected Information: State and Region	A summary of all numeric state data presented by state and region which allows programs to compare amongst states and regions.
Two-Year Comparison Report	The Two Year Comparison Report compares Ombudsman program data between two fiscal years. The report includes actual reported data, the percentage difference between the two years and identifies and highlights variances at 10 or 25 percent.
Legacy Reports	ACL Legacy Reports

For more information about reports, please see the [Reports section](#).

2.5.5 Resources Tab

The Resources tab provides reference materials, training, technical documents and templates, calendars of events and due dates, contact information for OAAPS points of contact, and frequently asked questions. For more information, please see the [Resources Page section](#).

Resources Tab

DASHBOARD
DATA SUBMISSIONS
ANALYSIS REPORTS
RESOURCES
ADMINISTRATION
PROFILE

RESOURCES

Reference Materials

Recorded Training

FAQs

Technical Documents

Upcoming Events

Reporting Calendar

Contacts

External Resources

Reference Materials

Title VII User Guide: Administration for Community Living (ACL) Reporting

This guide provides information and instructions on the OAAPS system, including: user management, data reporting and submission, data review, and analysis reports.

Format/Size: .docx/10.052KB
Audience: All Users
Last update: 08-15-2019

Quick Reference Guide: System Overview: Title VII

This quick reference guide provides a summary of the OAAPS system and main navigation.

Format/Size: .docx/897KB
Audience: All Users
Last update: 08-15-2019

Quick Reference Guide: User Management: Title VII

This quick reference guide provides a high-level look at each user's profile settings and the administrative controls some users will have.

Format/Size: .docx/393KB
Audience: All Users
Last update: 08-15-2019

Quick Reference Guide: Data Reporting and Submission: Title VII

This quick reference guide provides a summary of the OAAPS data reporting and submission process.

Format/Size: .docx/743KB
Audience: All Users
Last update: 08-15-2019

Quick Reference Guide: Data Validation: Title VII

This quick reference guide provides a summary of the different OAAPS validation rules and how users can validate their data.

Format/Size: .docx/705KB
Audience: All Users
Last update: 08-15-2019

Quick Reference Guide: Reports: Title VII

This quick reference guide provides a high-level summary of the analysis reports available in OAAPS.

Format/Size: .docx/606KB
Audience: All Users
Last update: 08-15-2019

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2.5.6 Administration Tab

The Administration tab is only available for administrators. This tab is where administrators can search for, add, and edit other users. For more information, please see the [User Management section](#).

Administration Tab

ADMINISTRATION

Manage Users

View User

Add New User

View State Users

Show filters

Viewing 1 to 2 of 2 results.

Last Name	First Name	Organization	Role	Status	Action
aaa	ken	HI	View and Edit data Manage users	Active	View
Frank	Erin	HI	View and Edit data Manage users	Active	View

2.5.7 Profile Tab

The Profile tab is where all users can edit their user notifications or change their password. For more information, please see the [My Profile section](#).

Ombudsman Program User – Profile Tab

DASHBOARD

Georgia Office of the State Long-Term Care Ombudsman

PROFILE

- NOTIFICATIONS
- CHANGE PASSWORD

ACL Staff – Profile Tab

DASHBOARD

FFY 2017 State Submission Statuses

Not Started	In Progress	Submitted	In Review	Returned	Approved
27	22	0	0	2	0

PROFILE

- NOTIFICATIONS
- DEFAULT STATES
- CHANGE PASSWORD

2.6 Security

OAAPS uses multiple approaches for security of the site and of individuals.

2.6.1 Multi-factor Authentication (MFA)

Federal security requirements mandate the use of multi-factor authentication (MFA) for confirming the identity of the person using the system. The OAAPS system will be a Two-Factor authentication system requiring a user password and verification from a user device such as a cell phone.

2.6.2 Single Sign On (SSO)

OAAPS uses Single Sign On (SSO) to log in and maintain a user's session. SSO is completed behind the scenes when a user signs in to OAAPS. When users select "Sign in", the application redirects them to Microsoft's SSO for authentication. Upon authenticating, the system signs them in to Microsoft's SSO and redirects them back to OAAPS as a signed in user. At that point, the user is signed in to two applications: Microsoft's SSO and OAAPS. Signing out works the same way, but it logs the user out in both applications.

While working in OAAPS, the application will periodically renew a users' session behind the scenes. This renewal hinges on remaining logged in to Microsoft's SSO. For instance, let's say a user has a different account that uses Microsoft's SSO, and they need to gain access into that system. Users can open a new browser window, sign out of the original SSO, and use different credentials to sign into the different system. At that point, the user's OAAPS session is still valid, but the application cannot renew their OAAPS session. Therefore, when session renewal fails, the systems fail safe is to log the user out and require them to sign in again to proceed.

2.6.3 Personally Identifiable Information (PII)

Personally Identifiable Information (PII) refers to information that can be used to distinguish or trace an individual's identity, either alone or when combined with other personal or identifying information that is linked to a specific individual. Examples include name, date and place of birth, email address, and phone numbers. OAAPS uses Azure Active Directory (AD) for identity management and PII information is stored there for authentication purposes only. User information is not included in any reports or exported outside of OAAPS.

2.6.4 Encryption

All communications between the user's browser and OAAPS are encrypted with the Secure Sockets Layer (SSL) protocol. All browser requests to OAAPS will enforce Hypertext Transfer Protocol Secure (HTTPS) connections, encrypting all communication between the server and client.

2.6.5 Passwords

Passwords are used to ensure that only approved users are able to access OAAPS. For more information about selecting and changing passwords, please see the [Profile section](#).

3 User Management

3.1 Introduction

This section contains information on how to manage user accounts in OAAPS. Each user is able to manage some aspects of their own account, and administrators are able to create and manage users below their level. The intended audience for this content includes administrators and general users at both the ACL and state Ombudsman program levels.

3.2 User Management Overview

Administrators can add new users, view user information, update users, and deactivate users in the Administration tab in OAAPS.

Administration Tab



3.2.1 User Organization Level

For Title VII, OAAPS users can have one of two organization levels:

- ACL staff user
- Ombudsman program user

The content of the Administration tab can change depending on the user's organization level. This user guide will highlight what content is different for ACL staff users and Ombudsman program users.

3.2.2 Roles and Permissions

A role designates the types of tasks a user can perform within the system, while a permission is a user's ability to perform specific system functions. A role is assigned certain permissions in order for the user to accomplish the tasks they are required to perform. Based on what tasks each OAAPS user must accomplish, they are provided with some combination of data access and entry, roles, data review roles, and/or administration role.

3.2.2.1 Data Access Roles

In OAAPS, each user is assigned one of the following Data Access roles:

- View data – allows access to view data, but the user cannot edit or submit data for review
- View and edit data – allows access to view, edit, and submit data for review

3.2.2.2 Data Review Roles for ACL Staff Users

In addition to the data access role, ACL staff users may or may not be assigned one or both of the following Data Review roles:

- Approve/Return data – gives the user the ability to approve submitted data or return submitted data
- Lock data – gives the user the ability to lock approved data so that it cannot be edited

3.2.2.3 Administration Role

Some users will receive an Administrator role, which enables them to manage other user accounts. An administrator can add a new user and search for a user to view details and update permissions.

3.3 Manage User Accounts – Ombudsman Program Administrators

Administrators have the ability to manage users who fall under them in the user hierarchy. For example, Ombudsman program administrators can only manage other Ombudsman program users within their own state.

To begin managing users:

1. In the main navigation bar, select **Administration**.



When selecting the Administration tab, the View User page displays by default. The navigation menu shows the following sections: View User and Add New User.

Administration Navigation Menu for Ombudsman Program Users



3.3.1 View User Section for Ombudsman Program Administrators

Ombudsman program administrators have fewer users to oversee than an ACL administrator. Because of this, Ombudsman program users have a View User section.

The View User section enables Ombudsman program administrators to view, add, and edit other users. Administrators can also use the filters to narrow down the list of users shown on the page.

To view more information about a user, under the Action column, select the **View** button.

View User Section

The screenshot shows the 'ADMINISTRATION' section of the ACLOAAPS system. On the left, the 'Manage Users' sidebar contains 'View User' and 'Add New User' buttons. The main area, 'View State Users', includes a 'Show filters' button and a message 'Viewing 1 to 2 of 2 results.' Below this is a table with columns: Last Name, First Name, Organization, Role, Status, and Action. Two users are listed: 'aaa' (ken, HI, View and Edit data, Manage users, Active) and 'Frank' (Erin, HI, View and Edit data, Manage users, Active). Each user has a 'View' button in the Action column.

Last Name	First Name	Organization	Role	Status	Action
aaa	ken	HI	View and Edit data Manage users	Active	View
Frank	Erin	HI	View and Edit data Manage users	Active	View

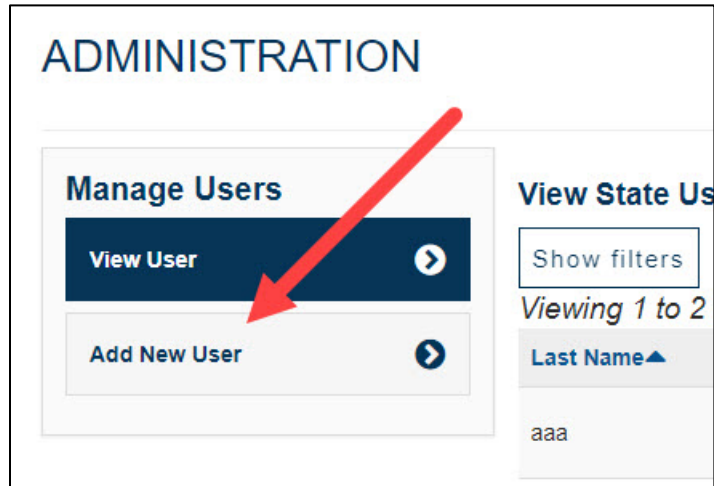
The view user page shows the user's general information and roles. An administrator will be able to edit the user. To learn more about editing users, please see the [Editing Users section](#).

3.3.2 Add New User

The second section of the Manage Users navigation menu is Add New User. The Add New User section enables administrators to create new users for OAAPS.

To add a new user:

1. In the main navigation bar, select **Administration**.
2. Under the Manage Users navigation menu, select **Add New User**.



3. Under Add New User, select the user's group.
4. Fill in the following fields for the user's general information:
 - a. First Name – user's first name
 - b. Last Name – user's last name
 - c. Email – the user's work email address
 - d. Phone – the user's phone number

NOTE: All of the fields are required.

5. Select **Next**.
6. Under the Title VII tab, select the user's role(s). The options are:
 - a. Data Access
 - i. View
 - ii. View and edit
7. Select **Add role to user**.

Add role to user

8. Select **Save**.

The new user is saved in OAAPS, and you can view them on the view user page.

3.3.3 Edit User

OAAPS administrators can edit user information for existing users.

To edit a user:

1. In the Administration tab, on the View User page, locate the user to edit.

2. In the Action column for the user, select **View**.



3. In the user profile, edit the fields that need to be updated.
4. When the user profile is updated, select **Save**.

After the update is saved, the user information is updated and can be viewed on the view user page.

***NOTE:** If all of a user's roles are removed, the user will automatically be removed from the system.*

3.4 ACL Administrators – Managing User Accounts

Administrators have the ability to manage users who fall under them in the user hierarchy. For example, an ACL administrator can manage other ACL users and Ombudsman program users.

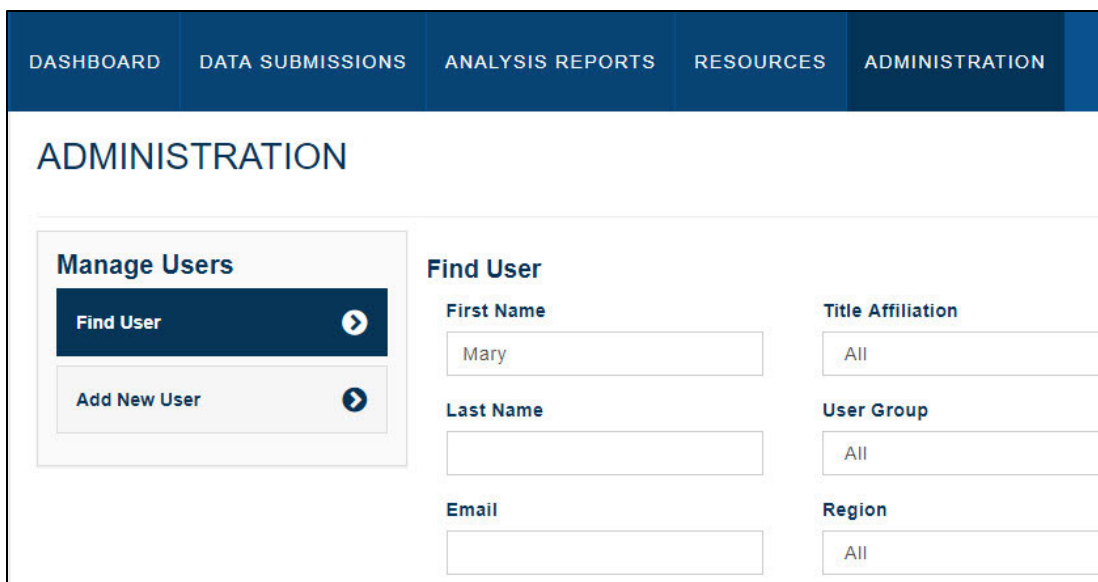
To begin managing users:

1. In the main navigation bar, select **Administration**.



When selecting the Administration tab, the Find User page displays by default. The navigation menu shows the following sections: Find User and Add New User.

Administration Navigation Menu for ACL Administrators

A screenshot of the 'ADMINISTRATION' page. At the top is a dark blue navigation bar with tabs: 'DASHBOARD', 'DATA SUBMISSIONS', 'ANALYSIS REPORTS', 'RESOURCES', and 'ADMINISTRATION'. Below the navigation bar, the page title 'ADMINISTRATION' is displayed. On the left, there is a 'Manage Users' section with two buttons: 'Find User' and 'Add New User', both with right-pointing arrows. To the right of this section is the 'Find User' form, which includes input fields for 'First Name' (containing 'Mary'), 'Last Name', and 'Email'. To the right of these fields are three dropdown menus: 'Title Affiliation' (set to 'All'), 'User Group' (set to 'All'), and 'Region' (set to 'All').

3.4.1 Find User Section

The Find User section enables ACL administrators to search for another user.

Find User Section

The screenshot shows the 'ADMINISTRATION' section of the ACL OAAAPS system. On the left, a 'Manage Users' sidebar contains 'Find User' and 'Add New User' buttons. The main area is titled 'Find User' and contains several search fields: 'First Name' (with 'Mary' entered), 'Last Name', 'Email', 'Status' (set to 'All'), 'Title Affiliation' (set to 'All'), 'User Group' (set to 'All'), and 'Region' (set to 'All'). Below these fields are 'Permissions' checkboxes for 'Data Access' (View, View and edit), 'Data Review' (Approve/Return, Lock), 'Data Submission' (Submit), and 'Administration' (Manage users, Manage grants). At the bottom are 'Submit' and 'Clear search' buttons.

A full list of users can be viewed by not filling in any search fields. However, search results can be narrowed down by filling in some or all of the following fields:

- First Name – type in the first name of the user
- Last Name – type in the last name of the user
- Email – type in the email address of the user
- Organization – select an organization from the drop-down list
- Status – select a status, such as active or inactive, from the drop-down list
- Role – select the checkbox(es) of the user's role(s)

After entering the search criteria, select **Submit** to run the search. If the search fields are filled out incorrectly, select **Clear search** to reset the search criteria.

When the search is complete, the results will display at the bottom of the page. By default, the search results display in a table format with the users listed alphabetically by last name. The search results table contains the following fields:

- Last name
- First name

- Contact Information
- Title Affiliation
- Status
- Action

If desired, the search results can also be sorted by first name, level, organization, email, or status. To sort by a different column, select the column name.

Find User Search Results

Viewing 1 to 10 of 346 results.

Last Name▲	First Name↑	Contact Information↑	Title Affiliation↑	Status↑	Action
12345678	12345678	12345678@sharklasers.com	Title III, Title VII	Active View permissions	View
7	User7	zavaduzi@mailtrix.net	Title III, Title VII	Active View permissions	View
98	titleiiiuser3	ayush.98@villabhj.com	Title III	Active View permissions	View
aaa	ken	ken.aaa@actitlesmvp.icfcloud.com	Title III, Title VII	Active View permissions	View
AAA	Swapna	swapna.aaa.ky@actitlesmvp.icfcloud.com	Title III, Title VI	Active View permissions	View
AAA	kentuckyuser with	kentuckyuserwithaaa@gmail.com	Title III	Active View permissions	View
AAA	Vikram	Vikram.Yelanadu.AAA@actitlesmvp.icfcloud.com	Title III	Active View permissions	View
aaa	nick	nick.aaa@actitlesmvp.icfcloud.com	Title III, Title VI	Active View permissions	View
aaa	dona	dona.patrick.aaa@actitlesmvp.icfcloud.com	Title III	Active View permissions	View
aaa	bradley	bradley.aaa@actitlesmvp.icfcloud.com	Title VI, Title VII	Active View permissions	View

« 1 2 3 4 5 »

To view more information about a user, under the Action column, select **View**.

The user page shows the user's general information and roles. An administrator will be able to edit the user. To learn more about editing users, please see the [Edit Users section](#).

3.4.2 Add New User

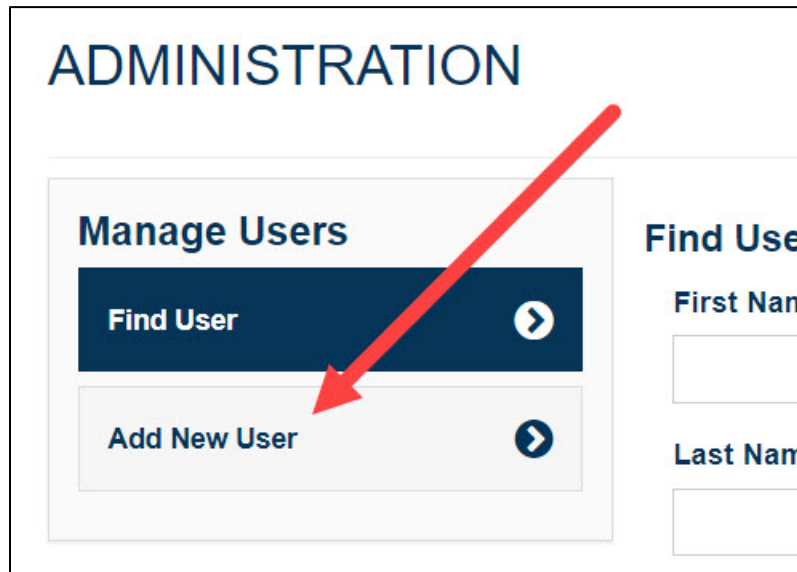
The second section of the Manage Users navigation menu is Add New User. The Add New User section enables administrators to create new users for OAAPS.

To add a new user:

1. In the main navigation bar, select **Administration**



2. Under the Manage Users navigation menu, select **Add New User**.



3. Under Add New User, select if the new user will be an ACL or State (Ombudsman program) user.
4. Fill in the following fields to add the new user:
 - First name
 - Last name
 - Email
 - Phone

NOTE: *All of the fields are required.*

5. Select **Next**.

6. On the User Details page, if it is not already selected, select the Title VII tab.

User Details

First name: Mary
Last name: Jane
Email: maryjane@sharklasers.com
Phone: (210) 438-0284

Title III

Title VI

Title VII

Permissions

Data Access ☐ View ⓘ

Data Review ☐ Approve/Return ⓘ ☐ Lock ⓘ

Add role to user

7. Under Permissions, select the user's role(s). Depending on your administrator level, you may have the following options:

Options for a new ACL user	Options for a new Ombudsman program user
<ul style="list-style-type: none"> Data Access – ACL users only have a “View data” option Administration – enable the checkbox if the user will be an administrator. This will only be available if a user is creating an administrator at a lower level than themselves. Data Review – “approve/return data” and/or “lock data” 	<ul style="list-style-type: none"> Data Access – choose “View data” or “View and edit data” Administration – enable the checkbox if the user will be an administrator

8. Select **Add role to user**.

Add role to user

9. Select **Save**.

3.4.3 Edit User

OAAPS administrators can edit user information for existing users.

To edit a user:

1. In the Administration tab, search for a user.
2. In the search results, locate the user to edit.
3. In the Action column, select **View**.

View

4. In the user profile, edit the fields that need to be updated.
5. When the user profile is updated, select **Save**.

After the update is saved, the user information is updated and can be viewed on the find user page.

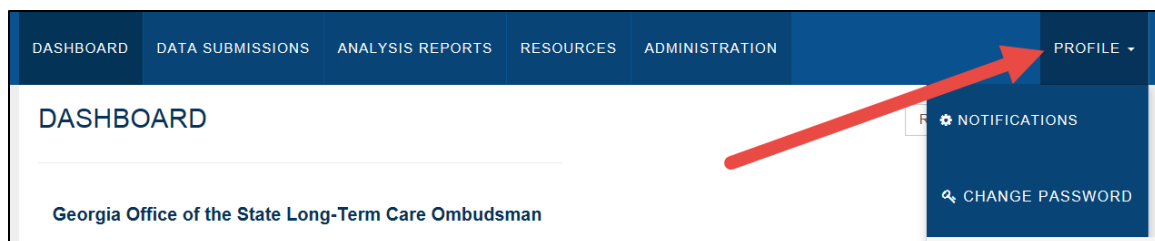
***NOTE:** If all of a user's roles are removed, the user will automatically be removed from the system.*

3.5 Profile

OAAPS users may make changes to their profile settings.

To access profile settings:

1. In OAAPS, on the right side of the top navigation tabs, select **Profile**.



2. Select the Profile section you wish to access.

***NOTE:** Some users have access to different features, but all users have the option to change their password and update their notification preferences. Below is a table of profile sections for the different organization levels.*

ACL Staff Users	State Users
<ul style="list-style-type: none"> • Notifications • Default States • Change Password 	<ul style="list-style-type: none"> • Notifications • Change Password

3.5.1 Notification Preferences

By default, OAAPS sends out email notifications when certain events occur. These notifications are sent to the user's designated email address (the same one used for their user ID).

The Notification Preferences page enables users to select which notification they would like to receive from OAAPS.

Notification Preferences for an Ombudsman User

Notification Preferences

OAAPS sends out email notifications based on criteria listed below. You may opt-out of receiving these emails as needed. Other critical notifications that cannot be opted-out of are not included here.

Notify me when status changes from

☒ In Progress to Submitted
 State data has been successfully submitted to ACL

☒ Submitted to In Review
 ACL has begun the review of submitted data

☒ In Review to Approved
 ACL has approved state data

☒ In Review to Returned (cannot opt out)
 ACL has returned data to state for rework/corrections

☒ Approved to Locked
 ACL has locked state data

The table below lists the OAAPS notifications that users can opt in or out of.

ACL Staff Users	State Users
<ul style="list-style-type: none"> In Progress to Submitted: a notification is sent when state data have been successfully submitted to ACL Submitted to In Review: a notification is sent when ACL has begun the review of submitted data In Review to Approved: a notification is sent when ACL has approved state data In Review to Returned: a notification is sent when ACL has returned data to the state for rework/ corrections Approved to Locked: a notification is sent when ACL has locked state data. 	<ul style="list-style-type: none"> In Progress to Submitted: a notification is sent when state data have been successfully submitted to ACL Submitted to In Review: a notification is sent when ACL has begun the review of submitted data In Review to Approved: a notification is sent when ACL has approved state data In Review to Returned (cannot opt out): a notification is sent when ACL has returned data to the state for rework/corrections Approved to Locked: a notification is sent when ACL has locked state data

Note: There are some notifications that users cannot opt out of.

After the user has made changes, they can select **Save** to save their changes, or **Cancel** to leave the page without saving any changes.

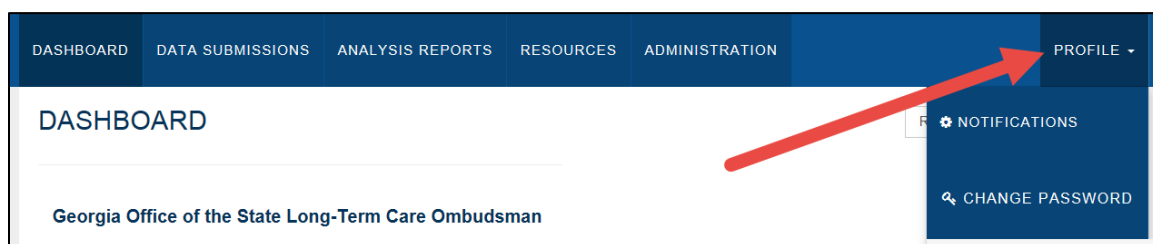
3.5.2 Change Password

OAAPS users may change their password at any time.

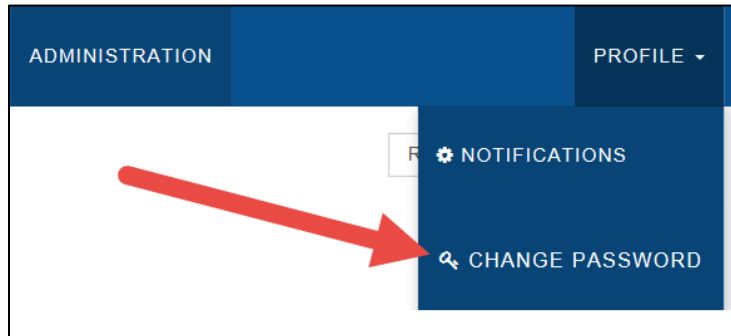
NOTE: If a user already has an MS account with the same email address that is used for OAAPS, they cannot change their password from OAAPS. Instead, they need to change their password through the original MS account (such as email).

To change a password:

1. In OAAPS, on the right side of the top navigation tabs, select **Profile**.



2. In the drop-down list, select **Change Password**.



3. On the Change Password page, enter the old password, the new password, and confirm the new password.

A screenshot of the 'change password' form. The form has a title 'change password' and a note: 'Strong password required. Enter 8-16 characters. Do not include common words or names. Combine uppercase letters, lowercase letters, numbers, and symbols.' The form contains the following fields: 'User ID' (pre-filled with 'erin.dataentry@actitlesmvp.icfcloud.com'), 'Old password' (empty text box), 'Create new password' (empty text box), 'Password strength' (empty text box), and 'Confirm new password' (empty text box). At the bottom, there are two buttons: 'submit' (green) and 'cancel' (blue).

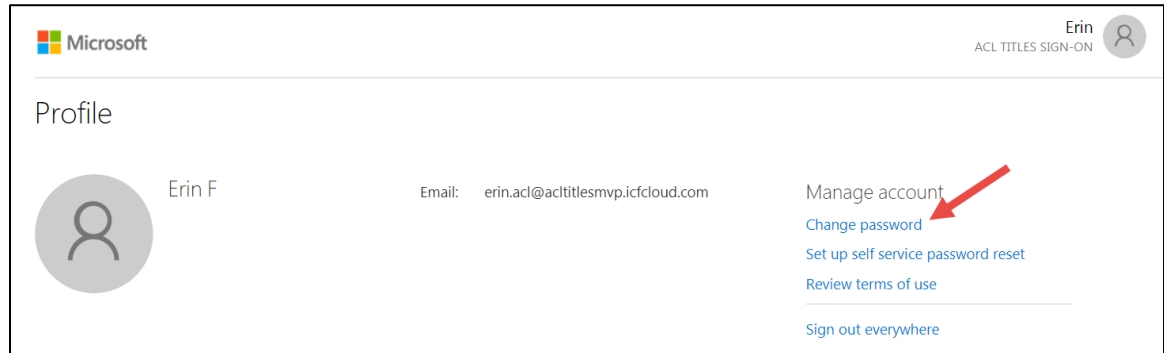
4. Select **Submit**.

OR

1. In OAAPS, in the upper right-hand corner of the page, select the username.

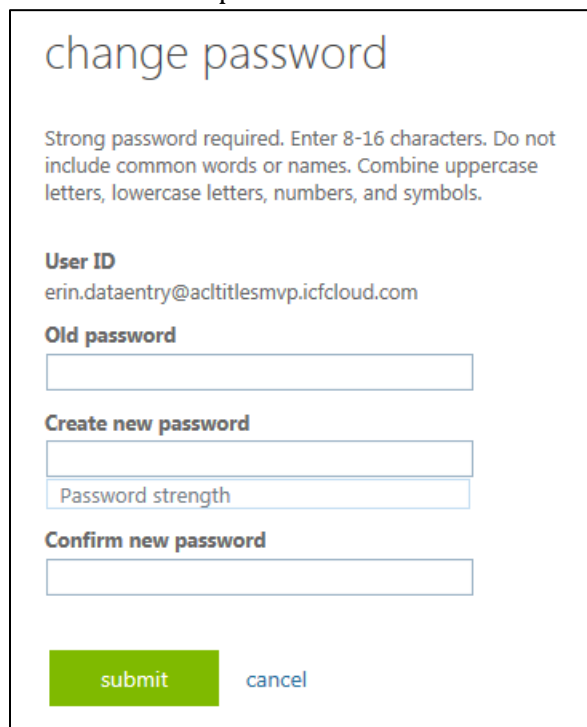


2. Under Manage account, select **Change Password**.



The screenshot shows a Microsoft account profile page. At the top left is the Microsoft logo. At the top right, it says 'Erin' next to a profile icon and 'ACL TITLES SIGN-ON'. Below this is a 'Profile' section with a large profile icon, the name 'Erin F', and the email 'erin.acl@acltitlesmvp.icfcloud.com'. To the right of the profile information is a 'Manage account' section with a red arrow pointing to the 'Change password' link. Other links in this section include 'Set up self service password reset', 'Review terms of use', and 'Sign out everywhere'.

3. On the change password page, enter the old password, the new password, and confirm the new password.



The screenshot shows a 'change password' form. At the top, it says 'change password'. Below this is a note: 'Strong password required. Enter 8-16 characters. Do not include common words or names. Combine uppercase letters, lowercase letters, numbers, and symbols.' The form has the following fields: 'User ID' (pre-filled with 'erin.dataentry@acltitlesmvp.icfcloud.com'), 'Old password' (empty text box), 'Create new password' (empty text box), 'Password strength' (empty text box), and 'Confirm new password' (empty text box). At the bottom are two buttons: a green 'submit' button and a blue 'cancel' button.

4. Select **Submit**.

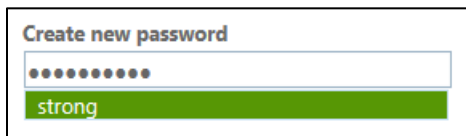
The password will be updated in OAAPS, and the user will be returned to their profile page.

3.5.2.1 Password Requirements

All passwords must meet the following requirements:

1. Passwords must be a minimum of 8 characters and a maximum of 16 characters.
2. Passwords must contain **three out of four** of the following:
 - a. Lowercase characters
 - b. Uppercase characters
 - c. Numbers: 0-9
 - d. Symbols: @ # \$ % ^ & * - ! + = () [] { } \ | ` ~ ; : _

When changing a password, a colored indication will display, showing whether the password is strong or not.

A screenshot of a password creation interface. It shows a text input field with a green bar below it indicating the password strength. The word "strong" is written in white on the green bar.

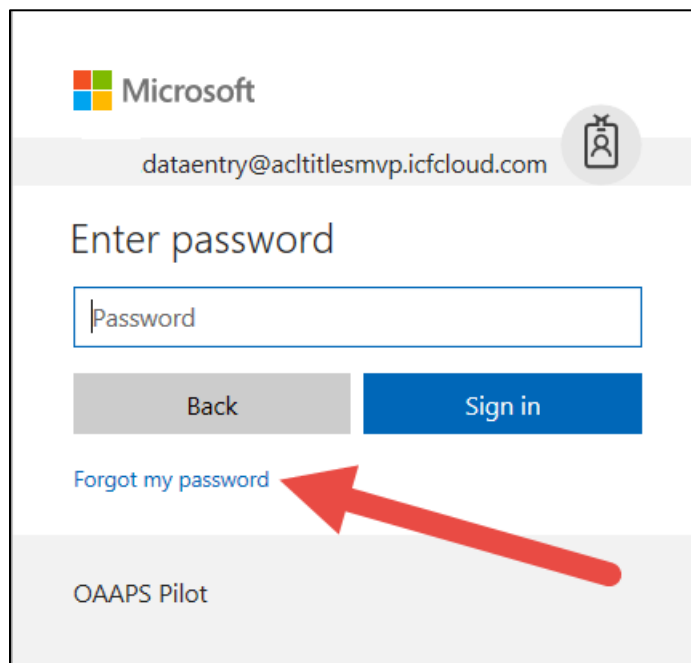
3.5.3 Forgotten Password

If a user has forgotten their password, it can be reset.

NOTE: If a user already has an MS account with the same email address that is used for OAAPS, they cannot change their password from OAAPS. Instead, they need to change their password through the original MS account (such as email).

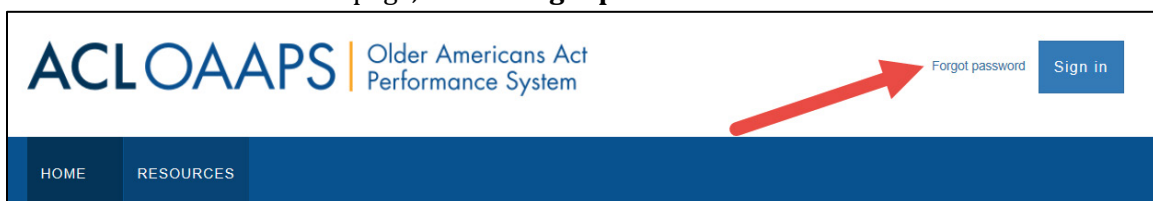
To reset a password:

1. On the Sign in page, select **Forgot my password**.

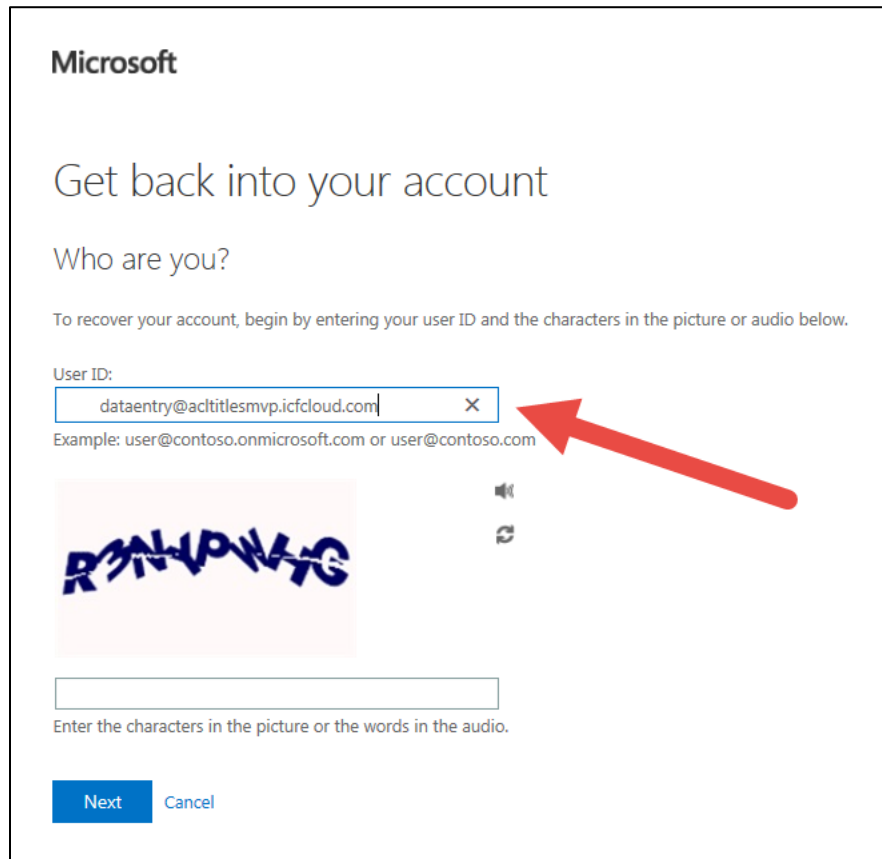
A screenshot of the Microsoft sign-in page. The page shows the Microsoft logo, the email address "dataentry@acltitlesmvp.icfcloud.com", and a password input field. Below the password field are "Back" and "Sign in" buttons. A red arrow points to the "Forgot my password" link below the "Sign in" button. The text "OAAPS Pilot" is visible at the bottom.

OR

On the OAAPS homepage, select **Forgot password**.

A screenshot of the ACLOAAPS homepage. The header shows the ACLOAAPS logo and the text "Older Americans Act Performance System". Below the header is a navigation bar with "HOME" and "RESOURCES" links. A red arrow points to the "Forgot password" link in the top right corner, next to a "Sign in" button.

2. On the Get back into your account page, ensure the user ID is accurate.



Microsoft

Get back into your account

Who are you?

To recover your account, begin by entering your user ID and the characters in the picture or audio below.

User ID:

Example: user@contoso.onmicrosoft.com or user@contoso.com

RANDOM

Enter the characters in the picture or the words in the audio.

Next Cancel

3. To confirm that a robot is not trying to change your password, enter the special characters in the text field.
4. Select **Next**.
5. After receiving a password reset email, follow the instructions to reset the password.

3.5.3.1 Locked Out

After 10 unsuccessful attempts to sign in, a user is locked out for one minute. Further incorrect sign in attempts lock out the account for increasing durations.

3.5.3.2 Timed Out

If a user has been inactive for 10 minutes, they will receive a warning stating that they will be signed out if they stay inactive. If the user remains inactive for 5 more minutes, they are signed out and need to sign in again.

3.5.4 Default States

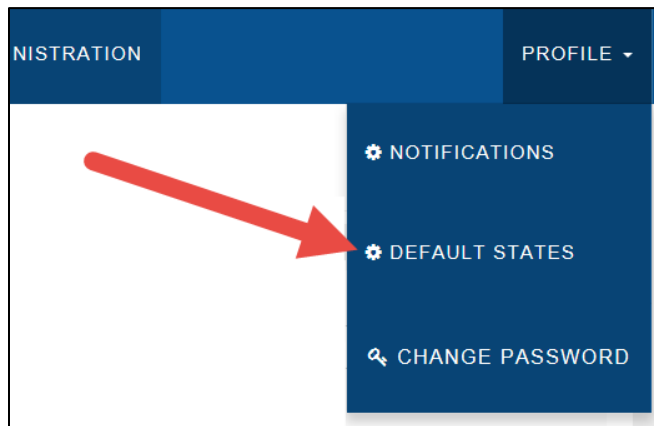
ACL staff users have access to another user profile setting called default states. This setting enables ACL staff users to select the default states that appear in their dashboard summary and data submissions filter. Users can select to see all states or see a subset of selected states.

To access default states settings:

1. In OAAPS, on the right side of the top navigation tabs, select **Profile**.



2. In the drop-down list, select **Default States**.



3. Select the states setting desired.

PROFILE

State Assignment

Please select the states to be used as the default setting for the Dashboard summary display and Data Submissions filter.

Show me

☐ All states - National level
☐ States in selected region(s)
☐ Selected states

Save

Cancel

4. Select **Save**.



4 Data Reporting & Submissions

4.1 Introduction

In the Data Reporting & Submissions section, users can learn how to report and submit data and how to review and approve submitted data. The following users are responsible for completing these tasks:

- Office of the LTCO programs users (with appropriate permission)
- ACL staff who review and approve Ombudsman program data (with appropriate permission)

4.1.1 Data Tasks

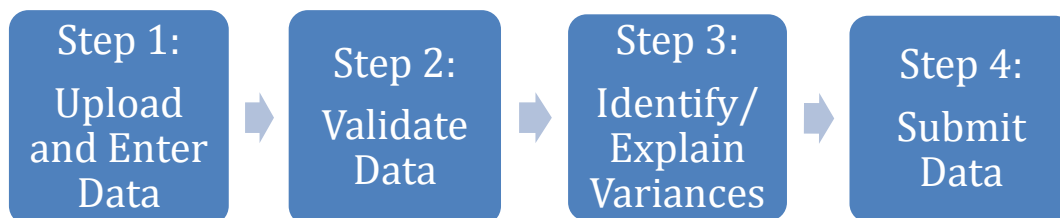
Ombudsman program users are responsible for reporting and submitting data, and ACL staff users are responsible for monitoring, reviewing, and approving submissions. The following table lists the main tasks for each type of user:

ACL Staff Users	Ombudsman Program Users
<ol style="list-style-type: none"> 1. Monitor status of submissions 2. Review submissions 3. Return submissions for corrections, if applicable 4. Approve submissions 5. Lock reports 	<ol style="list-style-type: none"> 1. Upload and enter data 2. Validate data 3. Identify/explain variances 4. Respond to returned reports 5. Submit data and re-submit

It is recommended that Ombudsman program users and ACL staff users review the full data reporting process (reporting and submitting data and reviewing and approving submissions) to ensure all users understand the entire process.

4.2 Ombudsman Program User Tasks

The Ombudsman program user must follow specific steps when reporting and submitting data to ACL, as shown in the image below:



4.2.1 Step 1: Upload and Enter Data

To begin completing the annual performance report, Ombudsman program users upload data files or manually enter data into OAAPS for each section of the report. While users have a choice in how some data are entered into the system, other data can only be entered in a specific way. The table below shows how each section of data must be entered:

Upload Only	Upload or Manually Enter	Manually Enter
<ul style="list-style-type: none">Cases and Complaints	<ul style="list-style-type: none">Organization StructureStaff and VolunteersFunds ExpendedFacilityProgram Activities	<ul style="list-style-type: none">Complaint ExamplesSystem IssuesOrganizational Conflicts of Interest

***Note:** The Action column in the Section Status Table tells users which options are available for each section of the report at each point in the process.*

4.2.1.1 Uploading Data Files

Ombudsman programs will use data files created by their software vendor or created by their in-house IT staff. To successfully upload these data files, they must match the prescribed OAAPS templates.

Prior to uploading a file, ensure that the file meets these requirements:

- Saved in a location where it can be found - For example, on your desktop or in a special folder clearly labeled
- Saved in one of the following valid file formats: .csv, .xls, .xlsx, or .xml
- Follows the prescribed OAAPS templates

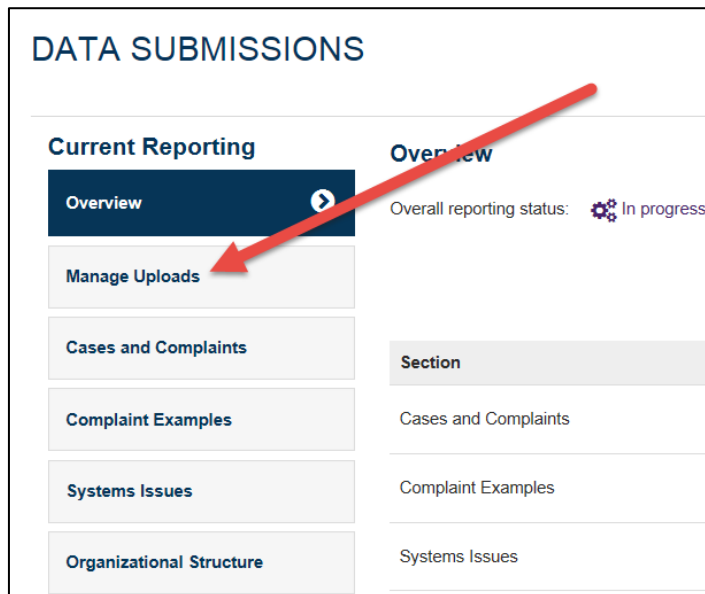
***NOTE:** Work closely with your IT staff or vendor to understand how to access, download, and save the data files so they can be uploaded to OAAPS.*

To upload a new data file:

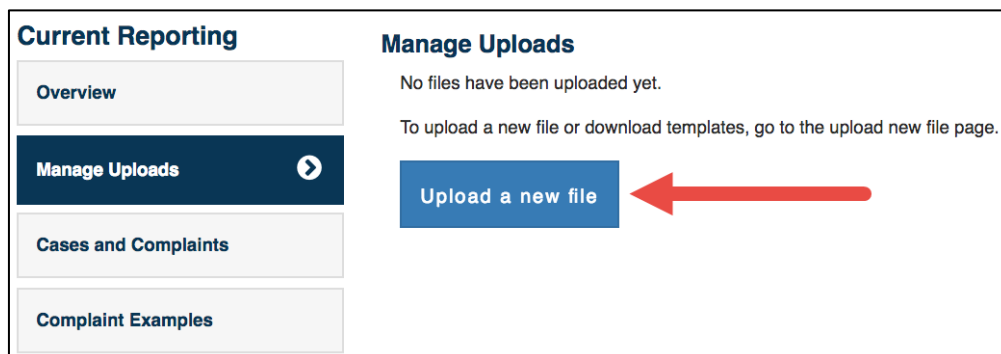
1. On the main navigation bar, select **Data Submissions**.



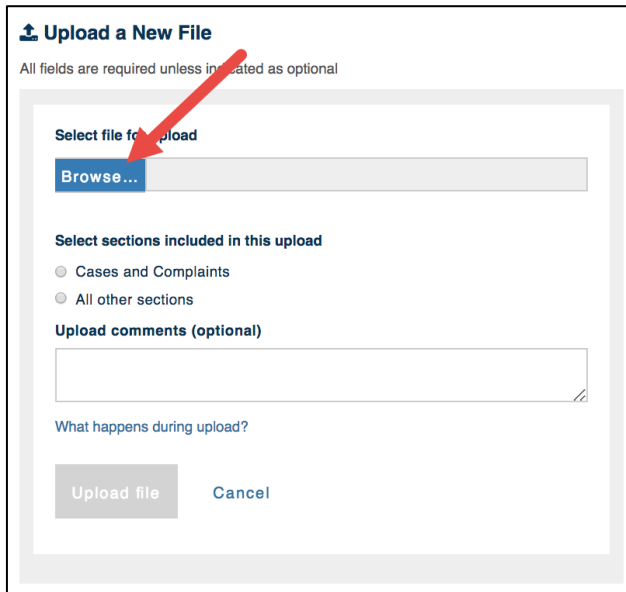
2. In the Current Reporting menu, select **Manage Uploads**.



3. Select **Upload a new file**.



4. In the Upload a New File page, select **Browse**.



Upload a New File

All fields are required unless indicated as optional

Select file for upload

Browse...

Select sections included in this upload

☐ Cases and Complaints

☐ All other sections

Upload comments (optional)

What happens during upload?

Upload file Cancel

5. Navigate to and select the appropriate file and select **Open**.
6. In the Upload a New File window, under “Select sections included in this upload”, select one of the following:
 - **Cases and Complaints:** Select this if the file contains only case and complaint data.
 - **All Other Sections:** Select this if the file contains data for one or more other sections of the report.

- If desired, in the Upload comments box, enter comments about the data being uploaded.

Upload a New File

All fields are required unless indicated as optional

Select file for upload

Browse...

CCSample.xml

Select sections included in this upload

☒ Cases and Complaints
☐ All other sections

Upload comments (optional)

This is the first upload of case and complaint files.

What happens during upload?

Upload file

Cancel

***NOTE:** After the file is uploaded, these comments will display in the Upload Log table on the Manage Uploads section.*

Upload Log			
File	Type	Sections Included	Comments
CCSample (11).csv 5/16/2018 at 4:50 PM by jmajoros@burlingtontelecom.net	Overwrite	Cases and Complaints	This is an upload of a corrected case and complaint data file.

- Select **Upload File**.

If the upload is successful, a green banner appears at the top of the page.

Upload successful

Older Americans Act
Performance System

Welcome erin.dataentry@acthemp.ictloud.com Sign out

DASHBOARD

DATA SUBMISSIONS

ANALYSIS REPORTS

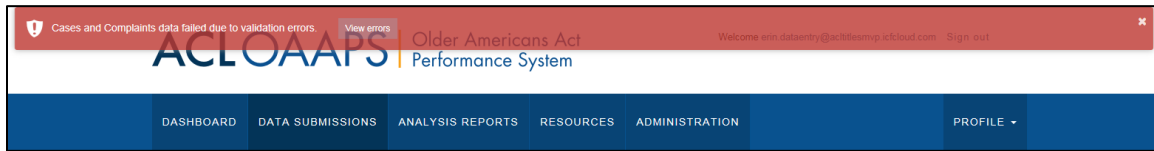
RESOURCES

ADMINISTRATION

PROFILE

If errors were identified, a red banner appears at the top of the page, telling users that one of the following errors was found: template, business rule, or formatting.

Upload Error Warning



4.2.1.1.1 What Happens During Upload?

Once you select a file to upload, the system will verify the following:

- **Correct template:** If you attempt to upload a file that does not match the required file type or include the proper headers, you will be prompted to upload a new file. Valid file formats are: .csv, .xls, .xlsx and .xml
- **Format validation:** If you attempt to upload any data that does not match the data format expected for a given field, you will be presented with a list of errors. You will be asked to fix the errors in the file and attempt the upload again. For example, dates must be in mm/dd/yyyy format.
- **Business rule validation:** If you attempt to upload Cases and Complaints data that does not pass business rule validations, you will be presented with a list of errors. You will be asked to fix the errors in the file and attempt the upload again. For example, the case opened date must be on or before the case closed date.
- **Subsequent cases and complaints data:** Any subsequent uploads of cases and complaints data will replace (i.e., overwrite) previously uploaded data.
- **Duplicate data for All Other Sections (non-cases and complaints) data:** If you attempt to upload data for fields already populated in the report, you will be asked to either merge the data (add to existing data in the system) or overwrite the data (replace existing data in the system with what is included in the new file being uploaded).

This information is also available for users to review as they select a data file.

To view “What happens during upload?” information:

1. In the Upload a New File window, select **What happens during upload?**

Upload a New File

All fields are required unless indicated as optional

Select file for upload

Browse...

Select sections included in this upload

☒ Cases and Complaints

☐ All other sections

Upload comments (optional)

What happens during upload?

Upload file Cancel


4.2.1.1.2 Viewing Errors on a Case and Complaint File

Users can view errors that were identified during upload on the Upload Errors page. The Upload Errors page contains a table that highlights where errors were in the uploaded file. The table columns and rows will change depending on what data was in the file.

For example, the Upload Errors page for a Case and Complaint file contains a table that describes specific information about each error. The table contains the following six columns:

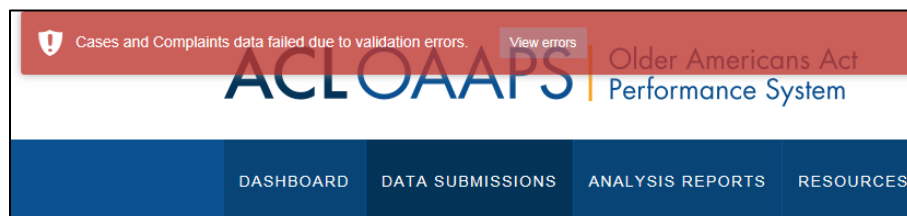
- Row #– shows the location of the error in the data file
- Case Number – shows the number the system assigns to the case (only displayed for case and complaint data files)
- Complaint Number – shows the number the system assigns to the complaint (only displayed for case and complaint data files)
- Field Name – shows the field in which the errors occur
- Value – shows the specific entry that is incorrect
- Error – shows an explanation of why the data entry is incorrect

Upload Errors Page for a Cases and Complaints File

Upload Errors					Print
<div>The following error(s) were found during file upload. No new data was added to the report due to errors in the upload file. Please correct all errors indicated below and try uploading the file again.</div>					
Row # ▲	Case Number	Complaint Number	Field Name	Value	Error
10	44644160	69896560	Date Case Opened	10/1/17	Valid date value required.
10	44644160	69896560	Date Case Closed	12/1/17	Valid date value required.
10	44644160	69896560	Date Complaint Opened	10/1/17	Valid date value required.
10	44644160	69896560	Date Complaint Closed	12/1/17	Valid date value required.
11	44644161	69896561	Date Case Opened	10/1/17	Valid date value required.
11	44644161	69896561	Date Case Closed	12/1/17	Valid date value required.
11	44644161	69896561	Date Complaint Opened	10/1/17	Valid date value required.
11	44644161	69896561	Date Complaint Closed	12/1/17	Valid date value required.
12	44644162	69896562	Date Case Opened	10/1/17	Valid date value required.

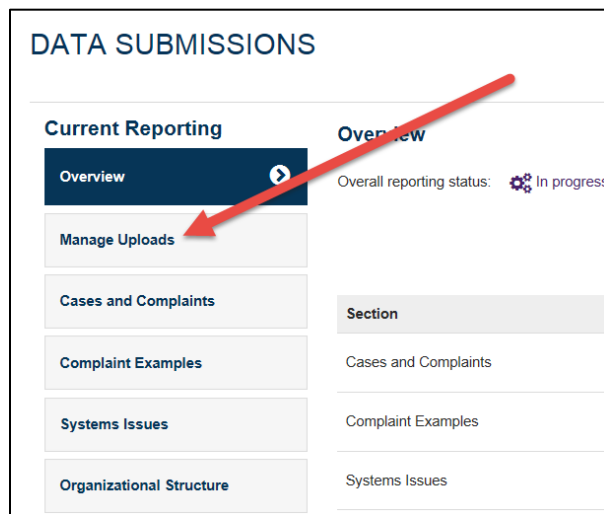
To navigate to the Upload Errors page:

1. If you receive the red upload errors message, on the right-hand side of the message, select **View Errors**.



OR

1. In the Data Submissions tab, in the Current Reporting menu, select **Manage Uploads**.

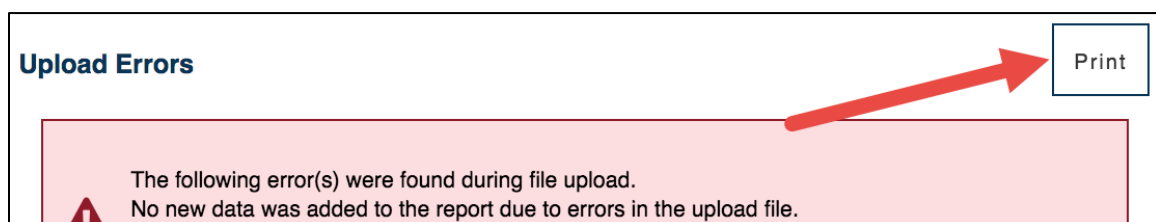


2. In the Upload Log table, locate the file with the upload error.
3. Under the Sections Included column, select **View Errors**.

Sections Included
Cases and Complaints
Cases and Complaints
Cases and Complaints data was not uploaded due to validation errors
View Errors

A list of all errors identified during upload can be printed by selecting **Print** in the upper right-hand corner of the Upload Errors page. This may make it easier to find and correct the errors in the data file.

Printing Upload Errors



4.2.1.1.3 Correcting Errors

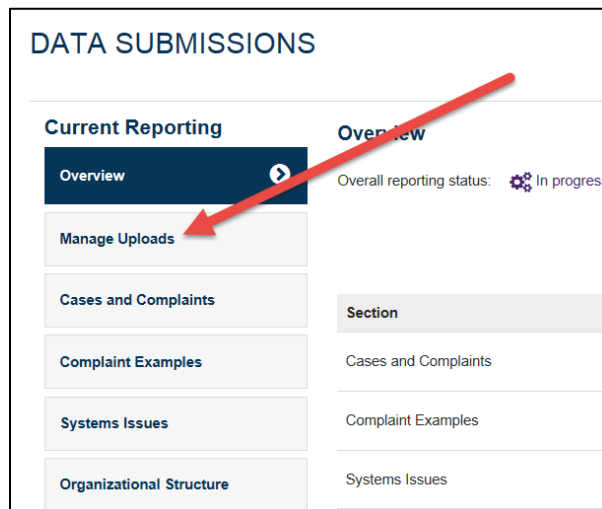
All errors identified during the upload process must be corrected before the file will be included in the report. Minor errors can be corrected directly in the data file. If there are significant or repetitive errors, users should check with their vendor or IT staff to determine if the data exported correctly.

To correct data file errors:

1. On the main navigation bar, select **Data Submissions**.



2. Access the Manage Uploads section in the Current Reporting menu by selecting **Manage Uploads**.



3. In the Upload Log table, select the data file name.

Upload Log			
File	Type	Sections Included	Comments
VIIUploadSample (6).csv 5/16/2018 at 3:44 PM by jmajoros@burlingtontelecom.net	New data	Organizational Structure Staff and Volunteers ...more	

4. In the data file, locate the errors and correct them.
5. Save the corrected data file on your computer; you may want to give it a different name so that you select the correct file for upload.
6. Upload the corrected data file following the steps outlined in this document.

4.2.1.1.4 Editing Previously Uploaded Files

Case and complaint date cannot be manually changed in the OAAPS. The only way to edit case and complaint data are to upload a new file to replace the previously uploaded data file.

To edit other previously uploaded report sections, users can either upload a new file or edit the data in the report section. If users choose to upload a new file, they can choose to merge the new data with the previously uploaded data or replace the previously uploaded data.

4.2.1.1.5 Saving Data Files

Uploaded data files are saved automatically in OAAPS during the upload process. They are saved as soon as the file is uploaded successfully.

4.2.1.2 Entering Data Manually

All Ombudsman program users must enter data manually for the following report sections that require narratives:

- Complaint Examples
- Systems Issues
- Organizational Conflicts of Interest

Ombudsman Program users can choose to either upload or manually enter the following sections:

- Organization Structure
- Staff and Volunteers
- Funds Expended
- Facility
- Program Activities

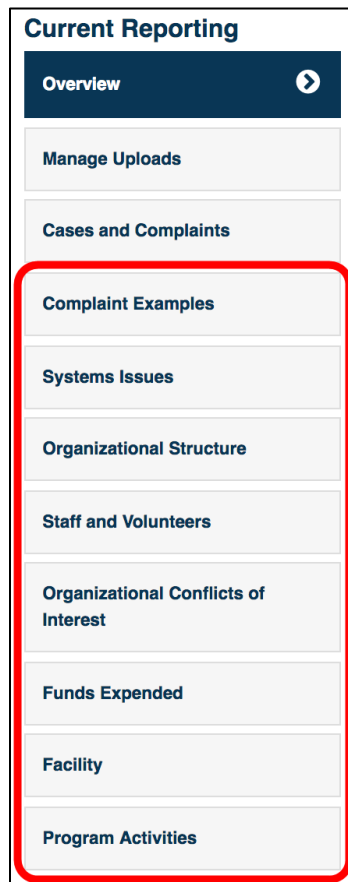
Users can update these sections manually at any time by accessing the forms within the report sections.

To access a report section:

1. On the main navigation bar, select **Data Submissions**.



2. In the Current Reporting menu, select the report section you wish to view.



The next few sections will describe how to enter and save data requiring manual entry.

4.2.1.2.1 Entering Complaint Examples Data

Users must select two case examples to include in the annual report. The first example must be from a nursing home, and the second from a residential care community. Users have the option of providing a third example from a setting of their choice. If case and complaint data have been uploaded already, users can look up a case number to pre-fill the information. Otherwise, they must manually enter the details about the complaint.

The data fields for all three complaint examples are the same, and the image below shows an example of the nursing facility data fields before any data are entered:

Complaint Examples - Nursing Facility Page

Complaint Examples - Nursing Facility

All fields are required.

Provide information regarding two to three complaints during the reporting period. Select one example from a Nursing Facility, and one from a Residential Care Community facility. A third example is optional.

If case and complaint data has been uploaded, there is the option to look up a case number to pre-fill the information. Otherwise, manually enter the details about the complaint.

Look up case/complaint from uploaded data

Facility or setting
Nursing Facility

Description

0 of 3400 characters

Complaint category

Complaint code

Verification
☐ Verified ☐ Not verified

Disposition

Disposition narrative

0 of 3400 characters

Save and next

Save

[Return to Overview](#)

4.2.1.2.2 Entering Systems Issues Data

Ombudsman program users must describe two priority long-term care, services, or supports issues they addressed during the reporting year. They have the option of

describing a third issue. For each issue, they must explain the activities the office employed to address the issues.

The data fields for all systems issues are the same. This is what the Systems Issue 1 data fields look like before any data are entered:

System Issues Section

Systems Issues - Systems Issue 1

All fields are required.

Describe at least two and up to three priority long-term care systems issues identified by the Ombudsman. Describe the leadership and advocacy activities the Office used to address these systems issues.

Systems issue category

F - Care

Problem description

0 of 3400 characters

Barriers description

0 of 3400 characters

Issue status

Affected Setting

☐ Not specific to a setting

Select all that apply

☐ Nursing Facility
☐ Residential Care Community

Resolution Strategies

Select all that apply

☐ Provided information to public or public agency
☐ Provided Information to legislator or legislative staff
☐ Recommended changes to laws, regulations, policies or actions through written or oral testimony.
☐ Provided leadership or participated on a task force
☐ Provided information to the media
☐ Provided educational forums; facilitated public comment on laws, regulations, policies or actions
☐ Developed and disseminated information
☐ Legal action where an Ombudsman program initiates legal action
☐ Engaged in LTC facility corporate wide strategy including providing information or recommendations to corporate leadership

Other Resolution Strategies

+ Add a resolution strategy not included above

Resolution Description

0 of 3400 characters

Save and next

Save

Return to Overview

4.2.1.2.3 Entering Organizational Structure Data

Users must indicate the location of the Office of the State LTC Ombudsman and the location of local Ombudsman entities. This is what the Organizational Structure data fields look like before any data are entered:

Organizational Structure Section

Reporting Period: FFY 2017 ▼

Organizational Structure
All fields are required.

Organization Location

Location of Office of State LTCO
▼

Local Ombudsman Entities

For states choosing to operate a decentralized model using local Ombudsman entities, specify the type of agency and the number of local Ombudsman entities located in each type.

☐ There are no local Ombudsman entities in the state

Area agency on aging (AAA)
Non-profit agency, with 501(c)(3) status
Legal services provider
Stand-alone non-profit agency

Total number of entities
0

Other locations
+ Add another location not listed above

Save and next Save Return to Overview

NOTE: In the middle of the page, there is a box that users can check if there are no local Ombudsman entities in their state. If users select this, they cannot enter data into the local entity list.

If the users wish to add another local Ombudsman entity, not already identified, they can select the link, “Add another location not listed above,” at the bottom of the page.

4.2.1.2.4 Entering Staff and Volunteers Data

Ombudsman program users must provide information about the total number of staff who work for the Ombudsman program at the state and local level, where applicable. They also need to report the number of FTEs.

FTEs are calculated by converting the weekly work hours of employees into a ratio. For example, a person who works full-time and 100% of the time with the Ombudsman program counts as 1 FTE. A person who works full-time, but only 50% of the time with the Ombudsman program counts as .5 FTE, and similarly, a person who works 10 hours a week and 100% of the time with the Ombudsman program counts as .25 FTE.

This is what the Staff and Volunteers data fields look like before any data are entered:

Staff and Volunteers Section

Staff and Volunteers

All fields are required.

This is a total count of staff that work full-time and part-time for the Ombudsman program as of the last day of the fiscal year (September 30).

Office of State Ombudsman Staff

Total staff

Total full-time equivalent (FTE)

Total state volunteer representatives

Total hours donated by state volunteers representatives

Hours

Total other volunteers (not representatives)

Local Ombudsman Entity Staff

☐ **Not applicable**

Total staff

Total full-time equivalent (FTE)

Total local volunteer representatives

Total hours donated by local volunteers representatives

Hours

Total other volunteers (not representatives)

Save and next

Save

[Return to Overview](#)

NOTE: There is a box the user can check if they have no local Ombudsman entity staff and volunteers. If this box is checked, users are not able to enter data in that section.

4.2.1.2.5 Entering Organizational Conflicts of Interest Data

Ombudsman program users must provide a description of any organizational conflicts of interest and the steps taken by the State agency and the Ombudsman to remedy or remove the conflicts.

This is what the Organizational conflicts of Interest data fields look like before any data are entered:

Organizational Conflicts of Interest Section

Organizational Conflicts of Interest

All fields are required.

Select the types of organizational conflicts of interest identified and describe steps taken by the State agency and the Ombudsman to remedy or remove identified conflicts.

You may enter new conflicts of interest or select ongoing conflicts from last year's submission.

Select from last year's submission

☐ No conflicts were identified among the state Office or local Ombudsman entities

+ Add a Conflict of Interest

Save and next

Save

[Return to Overview](#)

When selecting a conflict, users may select ongoing conflicts from last year's submission or add a new conflict. If they add a new conflict, they must select the type and location of the conflict from drop down lists. They must also describe the steps taken to remedy the new conflict, using less than 3,400 characters (about 500 words).

NOTE: For the first year, there will be no organizational conflict data already entered into the system. Ombudsman program users must enter each conflict manually. In the following year, they can select from the conflicts entered the prior year.

If there are no identified conflicts among the state office or local Ombudsman entities, in the middle of the page, the user can check the “No conflicts were identified among the state Office or local Ombudsman entities” checkbox.

4.2.1.2.6 Entering Funds Expended Data

Ombudsman program users must report the funds expended during the reporting year. Amounts which were budgeted or obligated, but not spent, should not be included. In-kind resources should not be included.

Funds Expended Section

Funds Expended

All fields are required.

Funds Expended from Older Americans Act (OAA) Sources.
Only include funds which were expended on Ombudsman program activities authorized under Section 712.

Funds Expended from Older Americans Act (OAA) Sources

OAA Title VII - Chapter 2	\$		Dollars
OAA Title VII - Chapter 3	\$		Dollars
OAA Title III - State level	\$		Dollars
OAA Title III - AAA level	\$		Dollars

Additional Federal Sources

☐ There are no other Federal sources

Total other Federal funds expended

\$

Dollars

[Add/Edit other Federal sources](#)

State Sources

☐ There are no State sources

Total other State funds expended

\$

Dollars

[Add/Edit other State sources](#)

Additional Local Sources

☐ There are no other Local sources

Total other Local funds expended

\$

Dollars

[Add/Edit other Local sources](#)

All Funds Expended

Grand total dollars expended from all sources

\$

0.00

Dollars

Save and next

Save

[Return to Overview](#)

When entering this data, users can add federal, state, and local funding sources that do not appear on the drop-down list. They can also remove those sources if they were added by mistake.

Adding Other Federal Sources

Other Federal Sources

Select all that apply.

☐ Medicaid Administrative Claiming

☐ Other Medicaid

☐ Social Services Block Grant or Community Services Block Grant

☐ Community Development Block Grant

☐ Senior Medicare Patrol

☐ Victims of Crime Act Funds

Other Federal Sources [+Add a source not listed above](#)

Add selected sources

Cancel

Adding Other State Sources

Other State Sources

Select all that apply.

☐ State General Funds

☐ State fee or tax

☐ Civil Monetary Penalties

☐ Public funds – foundation grants, etc.

Other State Sources [+Add a source not listed above](#)

Add selected sources

Cancel

Adding Other Local Sources

Additional Local Sources

Select all that apply.

☐ Local government

☐ Public grants/funds

☐ Other state funds expended at local (but not statewide) level

☐ Other federal funds expended at local (but not statewide) level

Other Local Sources [+Add a source not listed above](#)

Add selected sources

Cancel

4.2.1.2.7 Entering Facility Data

Ombudsman program users must report the number and capacity of Nursing Facilities and Residential Care Communities (RCCs) that were licensed (or registered, listed, certified, or otherwise regulated) by a state during the reporting period. The Facility section is divided into two pages:

1. Numbers and Capacity – which collects the total numbers for all Nursing Facilities and RCCs
2. RCC Information – which collects information about RCCs in their state

This is what the Numbers and Capacity data fields look like before any data are entered:

Facility – Numbers and Capacity Section

Facility - Numbers and Capacity
All fields are required.
Report for both Nursing Facilities and Residential Care Communities, in the appropriate section, the number of facilities which were licensed (or registered, listed, certified, or otherwise regulated) by a state during the reporting period and the resident capacity (number of beds) of those facilities.

Licensed Nursing Facilities	
Total number	<input type="text"/>
Total resident capacity	<input type="text"/>

Residential Care Communities	
Total number	<input type="text"/>
Total resident capacity	<input type="text"/>

Save and next

Save

[Return to Overview](#)

This is what the RCC data fields look like after data are entered:

Facility – RCC Section

Facility - Residential Care Community (RCC) Information
All fields are required.
Indicate the name of the type of facilities which are licensed (registered, listed, certified, or otherwise regulated) and the state's definition for these facilities, and capacity range (i.e. minimum and maximum number of beds permitted by the license or other regulatory designation).

Select from last year's submission

+ Add RCC

RCC type	RCC type definition	Minimum capacity	Maximum capacity	Actions
Adult Care home	A home that provides personal care services to adults.	3	10	Update Remove

Users must also provide specific information about RCCs in their state including:

- The type of RCC facilities which are licensed, registered, listed, certified, or otherwise regulated
- The state's definition for these facilities
- The minimum and maximum number of beds permitted by the license or other regulatory designation
- The option to select no minimum or maximum as appropriate

Users have the ability to copy over this data from previous years by selecting **Select from last year's submission**.

Select from Last Year's Submission Button

Facility - Residential Care Community (RCC) Information
All fields are required.
Indicate the name of the type of facilities which are licensed (registered, listed, certified, or otherwise regulated) and the state's definition for these facilities, and capacity range (i.e. minimum and maximum number of beds permitted by the license or other regulatory designation).

Select from last year's submission

+ Add RCC

[Save and next](#) [Save](#) [Return to Overview](#)

NOTE: For the first year that OAAPS is released, all data must be entered. It cannot be pulled from the previous year.

4.2.1.2.8 Entering Program Activities Data

Ombudsman program users must report other types of program activities such as facility visits, working with resident and family councils, community education, etc., and where indicated, they must report these activities by either nursing facility or RCC.

This is what the Program Activities data fields look like before any data are entered:

Program Activities Section

Program Activities

All fields are required.

Provide information on Ombudsman program activities other than work on complaints.

Training

Certification training hours	<input type="text"/>
Training hours required to maintain certification	<input type="text"/>
Number of new individuals completing certification training	<input type="text"/>

Ombudsman Program Activities

Information and assistance to individuals	<input type="text"/>
Community education	<input type="text"/>

Ombudsman Program Activities - Facilities

Activity	Nursing Facility	Residential Care Community
Training sessions for facility staff	<input type="text"/>	<input type="text"/>
Information and assistance to staff	<input type="text"/>	<input type="text"/>
Number of facilities that received one or more visits	<input type="text"/>	<input type="text"/>
Number of visits for all facilities	<input type="text"/>	<input type="text"/>
Number of facilities that received routine access	<input type="text"/>	<input type="text"/>
Total participation in facility survey	<input type="text"/>	<input type="text"/>
Resident council participation	<input type="text"/>	<input type="text"/>
Family council participation	<input type="text"/>	<input type="text"/>

State and Local Level Coordination Activities

☐ There are no state and local level coordination activities

☐ Area agency on aging programs

☐ Aging and disability resource centers

☐ Adult protective services programs

☐ Protection and advocacy systems

☐ Facility and long-term care provider licensure and certification programs

☐ The State Medicaid fraud control unit

☐ Victim assistance programs

☐ State and local law enforcement agencies

☐ Courts of competent jurisdiction

☐ The State legal assistance developer and legal assistance programs

☐ Centers for Independent Living

Other Coordination Activities

<input type="text"/>	Remove
<input type="text"/>	Remove

[+ Add a state and local coordination activity not listed above](#)

[Save and next](#)
[Save](#)

[Return to Overview](#)

4.2.1.2.9 Saving Manually Entered Data

Users must save data manually before leaving each report section.

To save entered data:

1. At the bottom of each section, select **Save and Next** or **Save**.
 - a. Save will save the data and keep the user on the same page.
 - b. Save and next will save the data and take users to the next section of the report.

Facility - Numbers and Capacity

All fields are required.

Report for both Nursing Facilities and Residential Care Communities, in the appropriate section, the number of facilities which were licensed (or registered, listed, certified, or otherwise regulated) by a state during the reporting period and the resident capacity (number of beds) of those facilities.

Licensed Nursing Facilities

Total number

Total resident capacity

Residential Care Communities

Total number

Total resident capacity

[Save and next](#) [Save](#) [Return to Overview](#)

If at any time, users do not want to save a data entry, they can select the link “Return to Overview” in the bottom right-hand corner of the page.

Return to Overview Link

[Return to Overview](#)

If users try to leave the page without saving, they will get the following prompt:

oaaps-pilot-dev.azurewebsites.net says

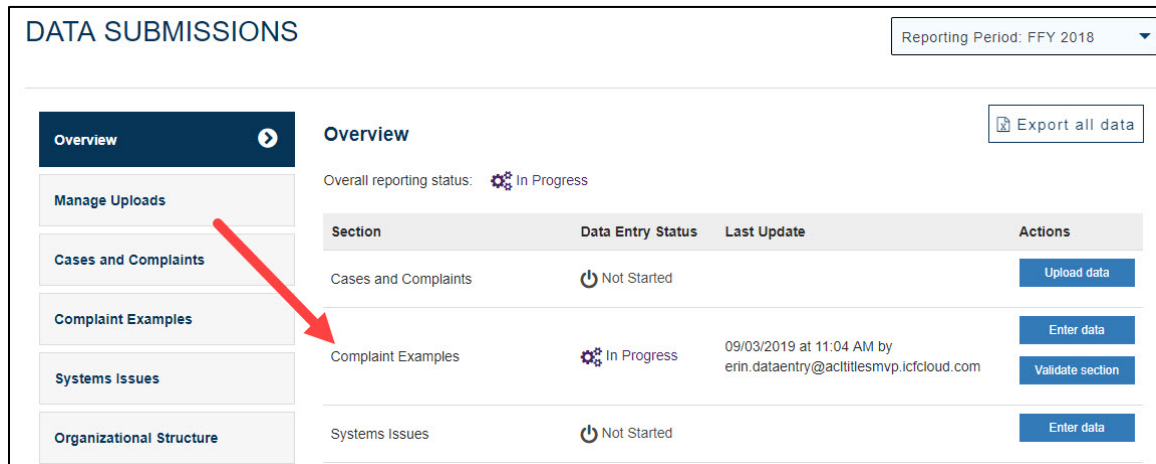
You have unsaved changes. Press OK to proceed without saving these changes, or press Cancel to go back and save these changes.

[Cancel](#) [OK](#)

If users want to proceed without saving, they can select OK. If users want to save before leaving the section, they can select **Cancel** to return to the form where the unsaved data are.

Once data have been entered and saved for a section, on the Overview section, in the Section Status table, the “Data Entry Status” and “Last Updated/Updated By” columns of the Section Status table are updated to include the data entry status, the date of the last update, and the username of the user who made the update.

Section Status Table after Data Entered for the Complaint Examples Section



DATA SUBMISSIONS				Reporting Period: FFY 2018
Overview	Overview			Export all data
Overall reporting status: In Progress				
Section	Data Entry Status	Last Update	Actions	
Cases and Complaints	Not Started		Upload data	
Complaint Examples	In Progress	09/03/2019 at 11:04 AM by erin.dataentry@actitlesmvp.icfcloud.com	Enter data Validate section	
Systems Issues	Not Started		Enter data	

4.2.1.2.10 Editing Manually Entered Data

Users may edit previously entered data on an entry page.

To edit manually entered data:

1. On the main navigation bar, select **Data Submissions**.



2. In the Current Reporting menu, select the report section you wish to view.

Current Reporting

Overview

Manage Uploads

Cases and Complaints

Complaint Examples

Systems Issues

Organizational Structure

Staff and Volunteers

Organizational Conflicts of Interest

Funds Expended

Facility

Program Activities

3. Locate and edit the data that needs to be updated.
4. At the bottom of the page, select **Save and Next** or **Save**.

Save and next

Save

***Note:** Users can edit data up until ACL begins its review. If the report is submitted but still waiting review, the Ombudsman program user can pull it back for revision. Once the ACL review begins, users cannot edit their submission unless ACL returns the submission to them.*

4.2.2 Step 2: Validate Data

After data are entered (manually or uploaded), it must be validated before it can be submitted. The validation process ensures that entered data are complete, that it is in the correct format, and that it complies with the business rules built into OAAPS.

Formatting rules ensure the data entered are complete and that they comply with basic data formatting rules. For example, if a number is requested, the data entered must be a number

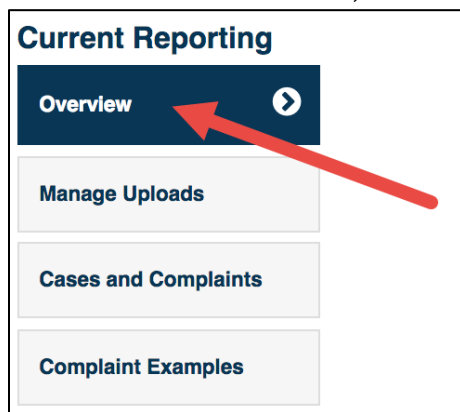
and not a letter. For more information about format rules, please see the [Format Rules section](#).

Business rules define specific characteristics of each data element. For example, the reporting of FTEs cannot be more than the total staff. For more information about business rules, please see the [Business Rules section](#).

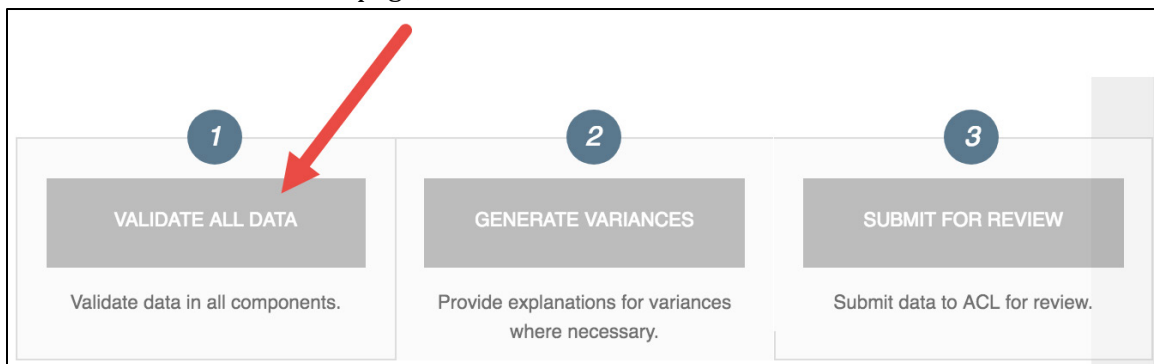
To validate all the report sections at one time, users must have started entering data for all sections. If they have not started all sections, they can validate one section at a time. Each section must be in progress before it can be validated.

To validate all sections of the report at one time:

1. In the Data Submissions tab, under the Current Reporting menu, select **Overview**.



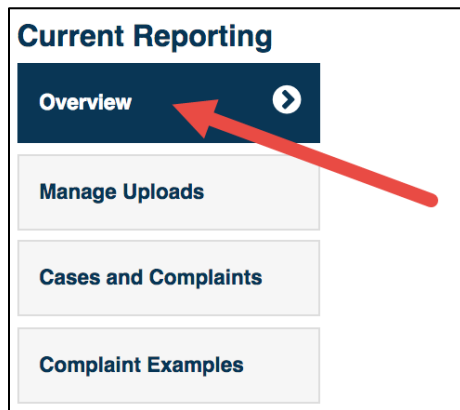
2. At the bottom of the page, select **VALIDATE ALL DATA**.



When all data are validated, the **VALIDATE ALL DATA** button will change to green.

To validate one section of the report at a time:

1. In the Data Submissions tab, under the Current Reporting menu, select **Overview**.



2. In the Section Status Table, locate the report section to validate.

Overview			
Overall reporting status: In progress		Export all data	
Section	Data Entry Status	Last Update	Actions
Cases and Complaints	In progress		<button>Upload data</button>
Complaint Examples	In progress	05/22/2018 at 7:36 AM by erin.dataentry@acltitlesmvp.icfcloud.com	<button>Enter data</button> <button>Validate section</button>
Systems Issues	In progress	05/22/2018 at 7:36 AM by erin.dataentry@acltitlesmvp.icfcloud.com	<button>Enter data</button>
Organizational Structure	In progress	05/22/2018 at 7:36 AM by erin.dataentry@acltitlesmvp.icfcloud.com	<button>Enter data</button> <button>Upload data</button> <button>Validate section</button>

3. Under the Actions column for that section, select **Validate section**.

Validate section

4.2.2.1 Format Rule Validation

Format rule validation ensures that data are complete and consistent with the data format required by OAAPS. The OAAPS system will not allow data to be saved if any applicable format rules violations occur. All format rule violations must be corrected prior to saving when entering data manually. If uploading data, the system will run format validations and display errors in the upload file if any violations are detected.

The following are examples of format rule validations:

- Some values must be a whole number greater than or equal to zero.

- Some values must be rounded to two decimal places.
- Zeroes are allowed in specific fields and disallowed in others.
- Negative values will not be saved.
- Currency fields include two decimal places and a dollar sign.
- In fields that require a narrative, there are limits on the number of characters that may be entered depending on the specific field.
- Numeric fields display up to 11 digits.

4.2.2.2 Business Rule Validation

Business rule validation ensures that all data complies with specific OAAPS rules that define characteristics of each data element and the relationships between the elements. These rules may be based on policy requirements or mathematical or other logic rules. Some examples of business rules are:

- The case closed date must be on or later than the case opened date.
- The total number of FTEs on staff cannot be greater than the total number of staff.

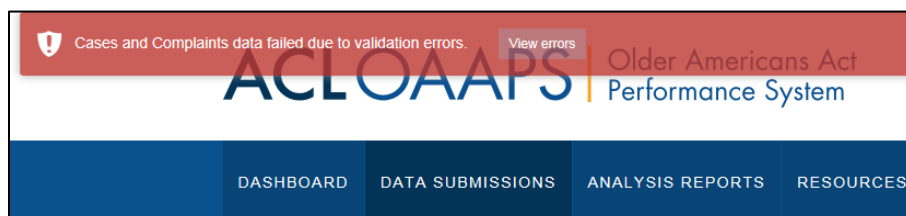
4.2.2.3 Uploaded Data File Validation

OAAPS identifies format rule errors in all uploaded data files during the upload process. If errors are identified, users will see a red banner appear at the top of the page, notifying them that the upload failed due to validation errors. Users can view the specific errors in the data file by going to the Upload Errors page.

Since case and complaint data can only be uploaded and cannot be corrected within the system, business rule validations are also run on this data during the upload process. Any business rule violations found will be displayed on the Upload Errors page.

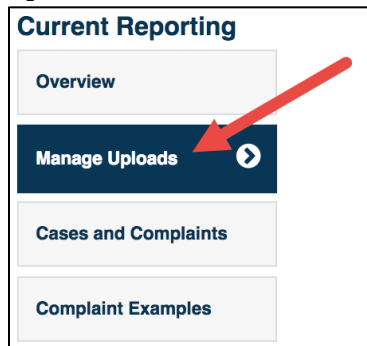
To navigate to the Upload Errors page:

1. If you receive the red upload errors message, on the right-hand side of the message, select **View Errors**.



OR

1. In the Data Submissions tab, in the Current Reporting menu, select **Manage Uploads**.



2. In the Upload Log table, locate the file with the upload error.
3. Under the Sections Included column, select **View Errors**.

File	Type	Sections Included	Comments
CCSample (4).xml 5/17/2018 at 4:46 PM by jmajoros@burlingtontelecom.net	Failed	Cases and Complaints data was not uploaded due to validation errors View Errors	

Users must correct the errors in the data file and upload it again. For more information on correcting errors in uploaded data files, please see the [Editing Previously Uploaded Files section](#).

4.2.2.4 Manually Entered Data Validation

For manually entered data, OAAPS validates format and business rules separately.

4.2.2.4.1 Format Rule Validation for Manually Entered Data

Format rule errors are identified by OAAPS when a user navigates out of a data field on a page. If errors are identified, the following events can occur:

- The field with the error is highlighted in red, and a specific error message is displayed beside the field, telling the user why the entry was not accepted.

Total staff	a2
<div> ✖ Value must be a whole number greater than zero. </div>	

- If users try to leave the page, they are warned: "There are errors on the page. You must fix the errors or clear the data in those fields in order to Save this form."

There are errors on the page. You must fix the errors or clear the data in those fields in order to Save this form.

Next

Save

Return to Overview

- The buttons at the bottom of the page are changed as follows:
 - The **Save** button is disabled.
 - The **Next** button displays.
- If users select the **Next** button, the following page displays:

Recent changes on this page will not be saved

There are errors on the page. You must fix the errors or clear the data in those fields in order to save this form.

You may select "Go back to form" to remove the errors or you may select "Proceed to next section" and all of new the data entered in the current section will be lost.

Go back to form

Proceed to next section

Users must correct the format error or clear that data from that field to save the entered data. If users proceed to the next section before correcting the error or deleting the erroneous data, all new data on the page will be lost.

4.2.2.4.2 Business Rule Validation for Manually Entered Data

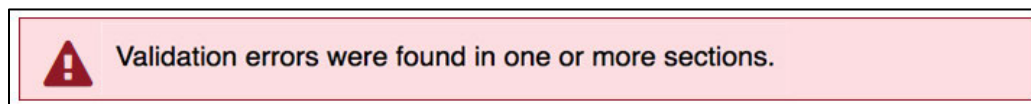
Business rule errors for manually entered data are identified during the validation process. Users do not receive advance notification of business rule errors when they leave a report section. Just because the system saves the data, it does not mean that the data are free of errors. OAAPS allows users to save data that contain business rule errors and move on to the next page or return to the Overview section without correcting the errors.

If no business rule errors are identified during validation, the Section Status table in the Overview section is updated, and the Data Entry Status column displays “Validated.”

Overview			
Overall reporting status: In progress			Export all data
Section	Data Entry Status	Last Update	Actions
Cases and Complaints	Not started		Upload data
Complaint Examples	Validated	05/22/2018 at 7:36 AM by erin.dataentry@acltitlesmvp.icfcloud.com	Enter data Upload data

If errors are identified, the Section Status table in the Overview section is updated, and the Data Entry Status column displays “In progress with errors.” A red banner also displays at the top of the page.

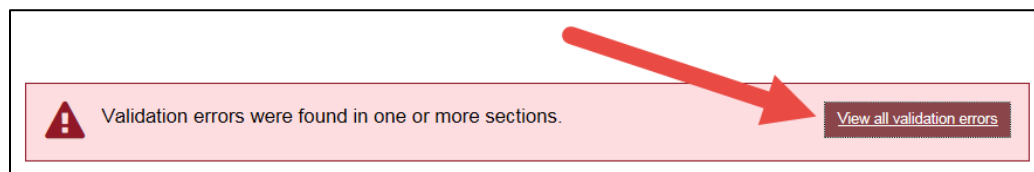
Validation Errors Banner



Users can view errors on the Validation Errors page.

To view the Validation Errors page:

1. On the Overview section, in the validation errors warning, select **View all validation errors**.



OR

1. In the Data Submissions tab, on the Overview section, in the Section Status table, locate the report section with errors.
2. Under the action column, select **View Errors**.


[View Errors](#)


4.2.2.4.2.1 CORRECTING MANUALLY ENTERED VALIDATION ERRORS

The Validation Errors page gives specific information about each error that enables users to locate and correct the error.

Validation Errors Page

Validation Errors

 The following error(s) were found during validation. Please correct all errors indicated below and try validating the section(s) again.

Filter section: All Sections 

Component/Section	Field	Value	Issue Type	Issue Description
Complaint Example - Nursing Section	Description		✖ Error	Required field.
Complaint Example - Nursing Section	Verification		✖ Error	Required field.
Complaint Example - Nursing Section	Disposition		✖ Error	A complaint must include a disposition.
Complaint Example - Nursing Section	Disposition Narrative		✖ Error	A complaint must include a disposition.

The information is divided into five columns.

- Component/Section: Name of the section with the error
- Field: Field in which the error occurs
- Value: The specific information that is incorrect
- Issue Type: The reason why the data was not validated
- Issue description: An explanation about why the entry is incorrect

Users can click on the section name from this page to navigate to the section where the errors can be corrected.

Printing the list may make it easier to find and correct multiple errors on various report section pages.

To print the validation errors:

1. In the upper right-hand corner of the Validation Errors page, select **Print**.

Print

Users must correct the errors in each report section and save the new entries. After all the errors have been corrected, they must validate the section(s) again. If all errors are corrected, the status of the section(s) will change to “Validated”.

4.2.3 Step 3: Identify/Explain Variances

To finish preparing the report for submission, the report must be checked for variances, and any identified variances must be explained by Ombudsman program users.

Variances occur when there has been a change (increase or decrease) in reported data from one year to another. OAAPS identifies variances by comparing data for the current reporting year to the report from the prior year. Variance rules are established by ACL and built into OAAPS. The following are a couple of variance examples:

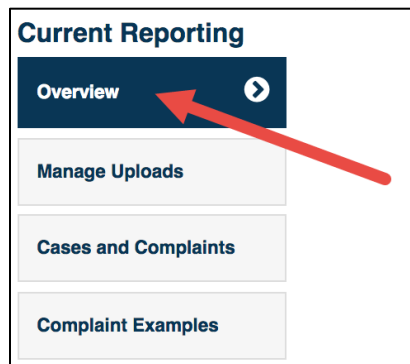
- A variance exists if the number of cases reported increases or decreases by 10% compared to the number reported in the prior year.
- A variance exists if the number of volunteer representatives of the Office increases or decreases by more than 25% in the prior year.

4.2.3.1 Generating Variances

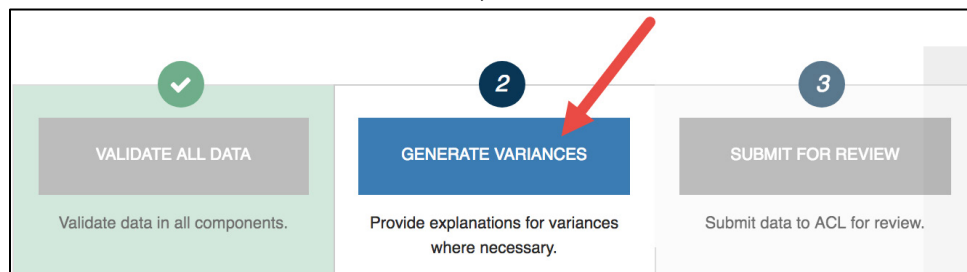
After all data have been validated, Ombudsman program users can generate variances.

To navigate to Generate Variances:

1. In the Data Submissions tab, under the Current Report menu, select **Overview**.









2. At the bottom of the Overview section, select **Generate Variances**.




When users select Generate Variances, new information and functions appear on the Overview section.

Overview Section after Variances are Generated

 Variance explanations are required for one or more sections.			
Section	Data Entry Status	Last Update	Actions
Cases and Complaints	 Variance explanations required	05/16/2018 at 6:22 PM by jmajoros@burlingtontelecom.net	View data
			Upload data
			Provide explanations
Complaint Examples	 No significant variances	05/17/2018 at 5:59 PM by jmajoros@burlingtontelecom.net	Enter data
Systems Issues	 No significant variances	05/17/2018 at 5:59 PM by jmajoros@burlingtontelecom.net	Enter data
Organizational Structure	 Variance explanations required	05/17/2018 at 5:59 PM by jmajoros@burlingtontelecom.net	Enter data
			Upload data
			Provide explanations
Staff and Volunteers	 Variance explanations required	05/17/2018 at 5:59 PM by jmajoros@burlingtontelecom.net	Enter data
			Upload data
			Provide explanations

Users are alerted by a red banner at the top of the page if the report has variances that must be explained.

Warning Banner about Variances

 Variance explanations are required for one or more sections.
--

In the Overview section, the Section Status table lists the status of the report including where variance explanations are required, and it provides navigation options for explaining the variances in the Actions column.

Variance Alerts for a Report Section

Staff and Volunteers	! Variance explanations required	05/17/2018 at 5:59 PM by jmajoros@burlingtontelecom.net	Enter data
			Upload data
			Provide explanations

Finally, at the bottom of the page, on the left-hand side, under Variance Analysis, the Explanation of Variances button is enabled.

Explanation of Variances Section Activated

Variance Analysis

[Explanation of Variances](#)

4.2.3.2 Explaining Variances

After variances are generated, the Ombudsman users must review the data and provide explanations for every variance that has been identified. Users provide variance explanations on the Explanation of Variances page for each report section.

To navigate to the Explanation of Variances pages:

1. On the Overview section, in the Actions column, select **Provide Explanations**.

[Provide explanations](#)

2. The Explanation of Variances page displays. The example below shows the Explanation of Variances – Cases and Complaints page:

Explanation of Variances - Cases and Complaints

[Expand all](#) | [Collapse all](#)

+ Cases by Facility or setting	! Variance explanations required
+ Complaints by Complainant Type	! Variance explanations required
+ Complaints by Complaint Group	! Variance explanations required
+ Complaints by Verification Type	! Variance explanations required
+ Complaints by Disposition	! Variance explanations required

[Save and next](#) [Save](#) [Return to Overview](#)

NOTE: Select the plus signs to expand the sections and add explanations.

3. To reach a different report section:
 - a. On the left-hand side, under the Variance Analysis menu, select a different section of the report.



OR

- a. Select **Save and Next** until reaching the desired report section.



While each report section has its own Explanation of Variances page, they all follow the same format, so the steps for adding explanations is the same from page to page.

Data fields that have variances requiring an explanation will be marked in yellow. The following guidelines should be followed when providing explanations:

- Variance explanations for all fields are entered in the same text box.
- Users provide a separate explanation for each variance either by writing an explanation or selecting “no significant factors identified”.
- The specific field title is included in each explanation; users can copy and paste into the text box.
- If the same explanation applies to more than one field, the explanation should include the titles for all fields in the explanation or can note that it applies to all.

To Add a Variance Explanation:

1. Locate the Explanation of Variances page for a report section that requires variance explanations.
2. Select **Variance explanations required**.



3. For each data field with a variance that requires an explanation, perform one of the following steps:

- a. If no significant factors contributed to the variance in a specific field, select the checkbox in the column titled “No significant factors identified”.

OR

- b. In the “Please provide an explanation for each difference highlighted” text field, enter an explanation for each yellow highlighted variance.

Explanation of Variances - Staff and Volunteers

Expand all | Collapse all

- Office of Ombudsman Staff

Variance explanations required

Data Field	2016	2017	% Variance	No significant factors identified
Total Staff	N/A	16	N/A	
Total full-time equivalent (FTE)	N/A	14.00	-1.4%	
Total state volunteer representatives	N/A	30	-26.8%	<input type="checkbox"/>
Total hours donated by state volunteers representatives	N/A	15,082.00	581.2%	<input type="checkbox"/>
Total other volunteers (not representatives)	N/A	308	100.0%	<input type="checkbox"/>

Please provide an explanation for each difference highlighted

☐ Mark as complete

0 of 3400 characters

+ Local Ombudsman Entity Staff

Variance explanations required

Save and next

Save

Return to Overview

Note: Users are not required to provide a narrative explanation in fields where they determine that no significant factors contributed to the variance.

Note: For more information about a highlighted variance, users can hover over the “i” icon to the left of the variance percent and a popup will display further details.

4. When explanations are added for all the data fields in a data group, select the “Mark as Complete” checkbox.

☐ **Mark as complete**

5. When explanations have been added for an entire page, select one of the following:
 - a. **Save and Next** to save the explanations and proceed to the next report section.
 - b. **Save** to save the explanations and remain on the current page.
 - c. **Return to Overview** to return to the Overview section without saving the explanations.

After all variance explanations are provided, return to Overview section to review the status of each section. In the Section Status table, the Data entry Status Column changes from “Variances required” to “Variance explanations provided.” Also, the red notification banner at the top of the page disappears.

4.2.3.2.1 Editing Variance Explanations

Users can edit variance explanations any time prior to their submission to ACL. If the report is submitted and still waiting review, the Ombudsman program user can pull it back for corrections. Once the ACL review begins, users cannot edit their explanations unless ACL returns the submission for clarification or additional information.

To edit variance explanations, follow the [Add Variance Explanation steps](#).

4.2.3.2.2 No Significant Factors Identified Option

Variance explanations are not required if there was not a significant change from the previous year. For example, the number of volunteers has increased or decreased by more than 10% in seven out of the past ten years. The variance identified in the reporting year does not reflect any significant factor, but rather it is consistent with past experience.

For variances where the users determine that there are no significant factors contributing to the variance, the user must select the checkbox in the column titled “No significant factors identified” on the Explanations of Variances page.

No Significant Factors Identified Column

No significant factors identified
<input checked="" type="checkbox"/>
<input checked="" type="checkbox"/>
<input checked="" type="checkbox"/>

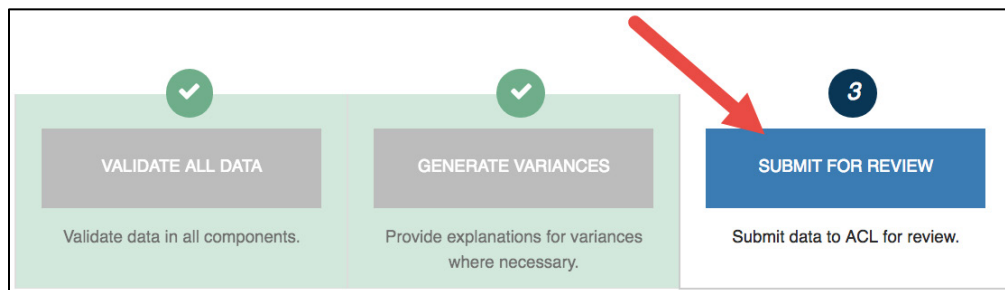
Once they do this, they are no longer required to explain the variance for that specific data element. However, they may be required to provide variance explanations for other data elements in that section of the report.

4.2.4 Step 4: Submit Data

After all sections of the data are validated and Ombudsman program users have completed their variance explanations, they may submit their report to ACL for review and approval. ACL does not have access to Ombudsman program data and cannot review the report until the user submits it.

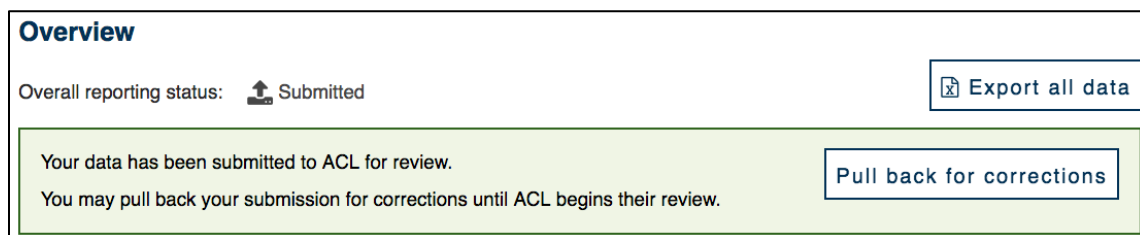
To submit a report:

1. In the Data Submission tab, on the Overview section, at the bottom of the page, select **Submit for Review**.



The user receives an email notification from OAAPS confirming that it received the submission. A green banner appears at the top of the page telling users that the data are submitted to ACL and that users can pull back the submissions for corrections up until ACL begins its review. The overall reporting status changes to Submitted.

Overall Reporting Status is Submitted



To navigate to Pull Back for Corrections:

1. On the Overview section page, select **Pull back for corrections**.

Pull back for corrections

Once ACL begins its review, Ombudsman program users cannot proactively pull back the data for editing/corrections unless ACL returns their submission to them for additional information or clarification.

4.2.4.1 ACL Review

ACL reviews each state's submissions to ensure the integrity of the data. Data must be accurate, internally consistent, and complete.

ACL may ask Ombudsman program users to clarify or provide additional information before approving the state's submission. When ACL returns the submission to the user, it will include comments explaining why clarification or additional information is requested. Ombudsman program users respond to ACL's requests and make and save any edits and return the submission to ACL.

Note: Even if users have validated their data and explained all variances, ACL may have questions about the submission and return the submission to the user for clarification or additional information.

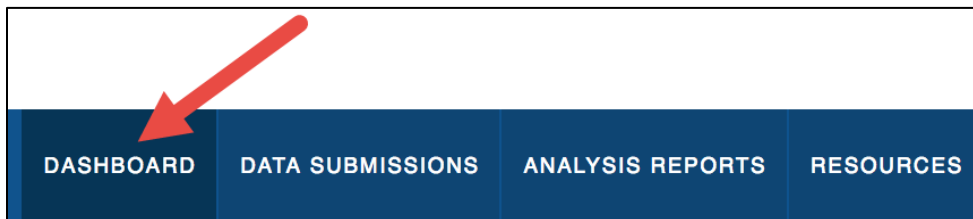
The submission process is not complete until ACL approves the report. Once ACL approves the submission, the report is locked. This locked submission is the state's final, Official Annual NORS report.

4.2.4.2 Monitoring Submission Status

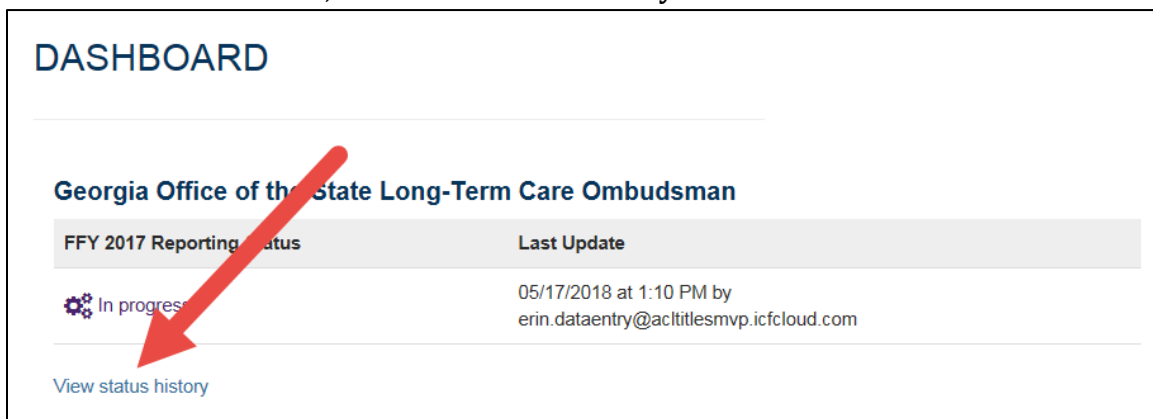
Ombudsman program users can monitor the status of their submissions throughout the reporting process by viewing Status history.

To navigate to the status history:

1. In the main navigation bar, select **Dashboard**.



2. On the Dashboard, select **View status history**.



Status History Page

State: Maine FFY: 2017			Go back to State Submission Review
Status History			Print status history
Status	Last Update	Comments	
Submitted	05/18/2018 at 8:02 AM by jmajoros@burlingtontelecom.net		
In progress	05/18/2018 at 7:57 AM by jmajoros@burlingtontelecom.net		
Submitted	05/18/2018 at 7:56 AM by jmajoros@burlingtontelecom.net		
In progress	05/16/2018 at 3:25 PM by jmajoros@burlingtontelecom.net		

*Note: Users select **Print status history** in the top right-hand corner of the Status Change Log page to print the log.*

4.3 ACL Staff User

The ACL staff users with Data Review permissions (called ACL reviewers for this section) have the authority to review submitted Ombudsman program data in OAAPS, return submitted data, and lock approved data. However, they do not have the ability to change Ombudsman program data. There are three steps ACL staff users follow to ensure the integrity of each state's data:

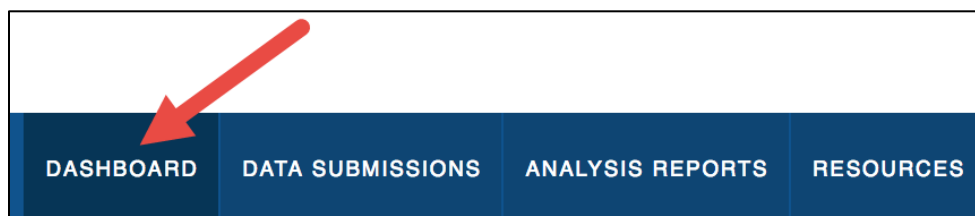


4.3.1 Step 1: Monitor Status of Submission

ACL reviewers must monitor the status of each state's submission throughout the reporting process. They can do so using the State Submission Statuses table.

To access the State Submission Statuses table:

1. In the main navigation bar, select **Dashboard**.



The Dashboard tab will display with the State Submission Statuses table.

FFY 2017 State Submission Statuses							My states ▾
Not Started	In Progress	Submitted	In Review	Returned	Approved	Locked	Total
26	20	1	3	2	0	0	52

The State Submission Statuses table shows how many states reports are in each of the following statuses:

- Not started
- In progress
- Submitted
- In review
- Returned
- Approved
- Locked

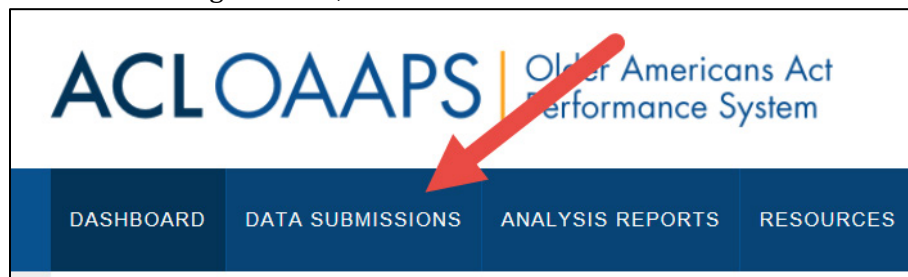
ACL reviewers cannot review Ombudsman program data until the data are submitted by the Ombudsman program user.

4.3.2 Step 2: Reviewing Submissions

The purpose of the submissions review is to ensure the integrity of the state's data. When ACL reviewers review data, they are ensuring that the data are internally consistent, and complete.

To begin reviewing a state's submission:

1. In the main navigation bar, select **Data Submissions**.



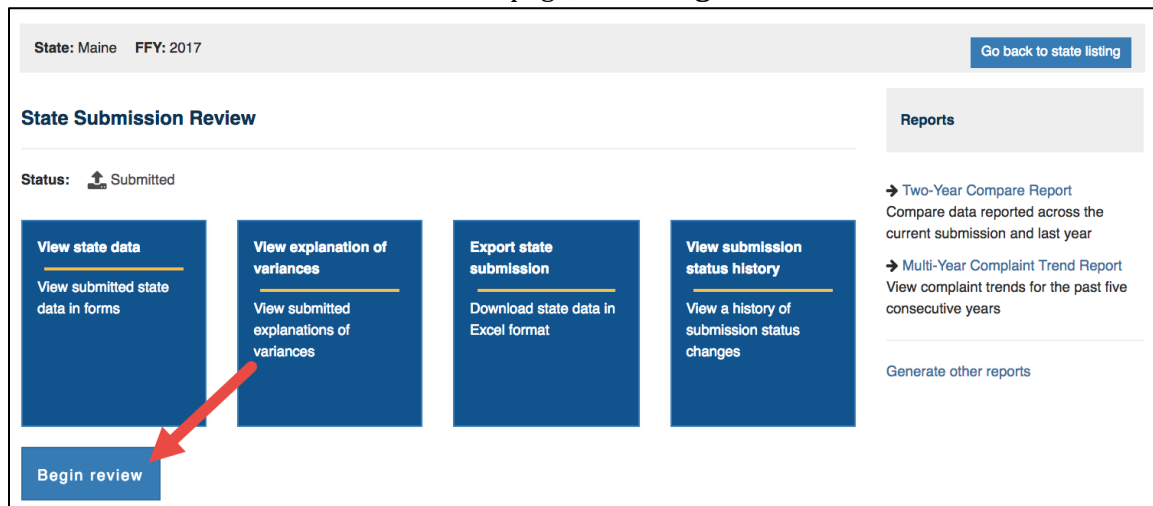
2. In the All State Submissions table, locate the state under review.

FFY 2017 All State Submissions						Show filters
Actions on multiple states						
Change status to In Review ▾						
State ▲	Region	FFY	Status	Last Update	Actions	
ME	1	2017	Submitted	5/18/2018 at 8:02 AM by jmajoros@burlingtontelecom.net	View	

3. In the Action column for that state, select **View**.



- On the State Submission Review page, select **Begin review**.



By selecting **Begin review**, the ACL reviewers are officially beginning their review, and the state's submission is locked so the Ombudsman program user cannot enter additional data or edit data that has been submitted.

The review process includes two steps that ACL reviewers must complete:

- Review the state's data
- Review the state's variance explanations

4.3.2.1 Review State's Data

Reviewing the state's data are an integral part of ACL's review process. The state's Data Submission page lets ACL reviewers see the actual data a state entered or uploaded and review the state's variance explanations.

ACL reviewers must view the state's data for each report section. The report sections contain the actual data entered or uploaded by the state.

As they review each report section, ACL reviewers look for:

- Inconsistencies.
Example: Data shows a low number of volunteers and a very high number of volunteer hours.
- Unusual trends that may or may not constitute variances.
Example: The number of complaints were consistently trending up for the past five years. The Data shows a 9% decrease in the number of cases for this reporting year.
- Incomplete entries, particularly in the narratives.
Example: On the Systems Issue page, the user selected the issue category from the drop-down menu. The user copied the issue category into the problem description box without providing a description of the problem.

To review a state's data:

1. Navigate to the state's State Submission Review page.
2. Select **View state data**.

State: Maine FFY: 2017

State Submission Review

Status: Submitted

View state data

View submitted state data in forms

View explanation of variances

View submitted explanations of variances

Export state submission

Download state data in Excel format

View submission status history

View a history of submission status changes

3. Review the data in each report section by either:
 - a. On the Overview section, in the Section Status table, locate the report section to review.

Overview			
Overall reporting status: Submitted			Export all data
Section	Data Entry Status	Last Update	Actions
Cases and Complaints	Submitted	05/18/2018 at 8:02 AM by jmajoros@burlingtontelecom.net	View data
Complaint Examples	Submitted	05/18/2018 at 8:02 AM by jmajoros@burlingtontelecom.net	View data
Systems Issues	Submitted	05/18/2018 at 8:02 AM by jmajoros@burlingtontelecom.net	View data
Organizational Structure	Submitted	05/18/2018 at 8:02 AM by jmajoros@burlingtontelecom.net	View data
Staff and Volunteers	Submitted	05/18/2018 at 8:02 AM by jmajoros@burlingtontelecom.net	View data
Organizational Conflicts of Interest	Submitted	05/18/2018 at 8:02 AM by jmajoros@burlingtontelecom.net	View data
Funds Expended	Submitted	05/18/2018 at 8:02 AM by jmajoros@burlingtontelecom.net	View data
Facility	Submitted	05/18/2018 at 8:02 AM by jmajoros@burlingtontelecom.net	View data
Program Activities	Submitted	05/18/2018 at 8:02 AM by jmajoros@burlingtontelecom.net	View data

- b. Under the Actions column, select **View data**.

OR

- a. In the Current Reporting menu, select the report section to review.

Current Reporting

Overview

Cases and Complaints

Complaint Examples

Systems Issues

Organizational Structure

Staff and Volunteers

Organizational Conflicts of Interest

Funds Expended

Facility

Program Activities

This is the Staff and Volunteer report section where ACL reviewers evaluate staff and volunteer data:

ACL Reviewers View of a State's Staff and Volunteer Report Section

Staff and Volunteers
All fields are required.
This is a total count of staff that work full-time and part-time for the Ombudsman program as of the last day of the fiscal year (September 30).

Office of State Ombudsman Staff		
Total staff		16
Total full-time equivalent (FTE)		14.00
Total state volunteer representatives		30
Total hours donated by state volunteers representatives	15,082.00	Hours
Total other volunteers (not representatives)		308

Local Ombudsman Entity Staff		
<input type="checkbox"/> Not applicable		
Total staff		24
Total full-time equivalent (FTE)		24.00
Total local volunteer representatives		86
Total hours donated by local volunteers representatives	25,536.00	Hours
Total other volunteers (not representatives)		428

[Next](#)[Return to Overview](#)

As the ACL reviewers evaluate each report section, they can also navigate to the next report section by selecting the **Next** button at the bottom of the report section they are currently viewing.

4.3.2.2 Review State's Variances

ACL reviewers must review the state's variance explanations for each report section. As they look at each variance explanation, ACL reviewers determine if:

- The variance explanations are complete, accurate, and internally consistent.
- The Ombudsman program user has appropriately determined that some variances do not require explanations because no significant factors contributed to the variance.
- The Ombudsman program user indicated no significant factors contributed to the variance, but the reviewer believes an explanation is necessary.
- The Ombudsman program user's explanation is clear and plausible.

To review a state's variances:

1. On the main navigation bar, select **Data Submission**.
2. In the action column for the state in review, select **View**.

A blue rectangular button with the word "View" in white text.

3. Select **View explanation of variances**.

A blue rectangular button with the text "View explanation of variances" in white. Below the text is a thin orange horizontal line.

View submitted
explanations of
variances

4. The Case and Complaint Explanation of Variance page opens automatically. To view the variance explanation for a specific element, select the blue bar.

A screenshot of the "Explanation of Variances - Cases and Complaints" page. The page has a title bar with "Expand all" and "Collapse all" links. Below the title bar is a list of five expandable sections, each with a blue bar containing a plus icon and a title. To the right of each title is a green checkmark icon and the text "Variance explanations provided". A red arrow points to the first blue bar, "+ Cases by Facility or setting".

Explanation of Variances - Cases and Complaints	
+ Cases by Facility or setting	✔ Variance explanations provided
+ Complaints by Complainant Type	✔ Variance explanations provided
+ Complaints by Complaint Group	✔ Variance explanations provided
+ Complaints by Verification Type	✔ Variance explanations provided
+ Complaints by Disposition	✔ Variance explanations provided

5. Review the variances in each report section by either:
 - a. Reviewing the Explanation of Variances – Cases and Complaints page. Then, select **Next**.

A blue rectangular button with the word "Next" in white text.

- b. Continue to review each Explanation of Variances page and select **Next** to move on.

OR

- a. At the bottom of the page, under Variance Analysis, select the report section to review.

Variance Analysis

Explanation of Variances

Cases and Complaints

Organizational Structure

Staff and Volunteers

Funds Expended

Facility

Program Activities

Below is one example of an Explanation of Variances page. Each report section has its own Explanation of Variances page, and while the data files listed in the variance tables will change, the table format is the same for each report section.

ACL Reviewers View of an Explanation of Variances Page

Explanation of Variances - Cases and Complaints

[Expand all](#) | [Collapse all](#)

- Cases by Facility or setting
ⓘ Variance explanations required

Facility or setting	2016	2017	% Variance	No significant factors identified
Nursing Facilities	21,410	21,351	-0.3%	
Residential Care Community	10,508	9,948	-5.3%	
Setting other than Nursing Facility or Residential Care Community	1,530	1,112	ⓘ -27.3%	<input type="checkbox"/>
Total	33,448	32,411	-3.1%	

Please provide an explanation for each difference highlighted ☒ Mark as complete

The state awarded our program a one year grant to serve individuals in supportive housing. The grant ended half way through the reporting year. Without a specific funding source, we were no longer able to provide ombudsman services to individuals in that setting. Therefore, the number of cases in a setting other than a NF or RCC declined.

341 of 3400 characters

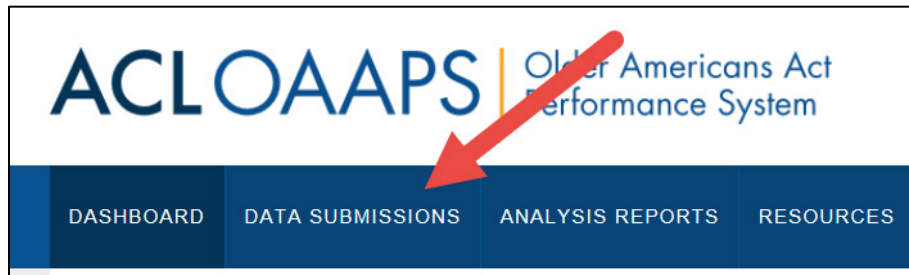
***Note:** For more information about a highlighted variance, users can hover over the “i” icon to the left of the variance percent and a popup will display with further details.*

4.3.2.3 The Submission Status Log

The Status Change Log enables ACL reviewers to see the status changes for each state they review. There is one Status Change Log for each state.

To navigate to the Submission Status Log for a specific state:

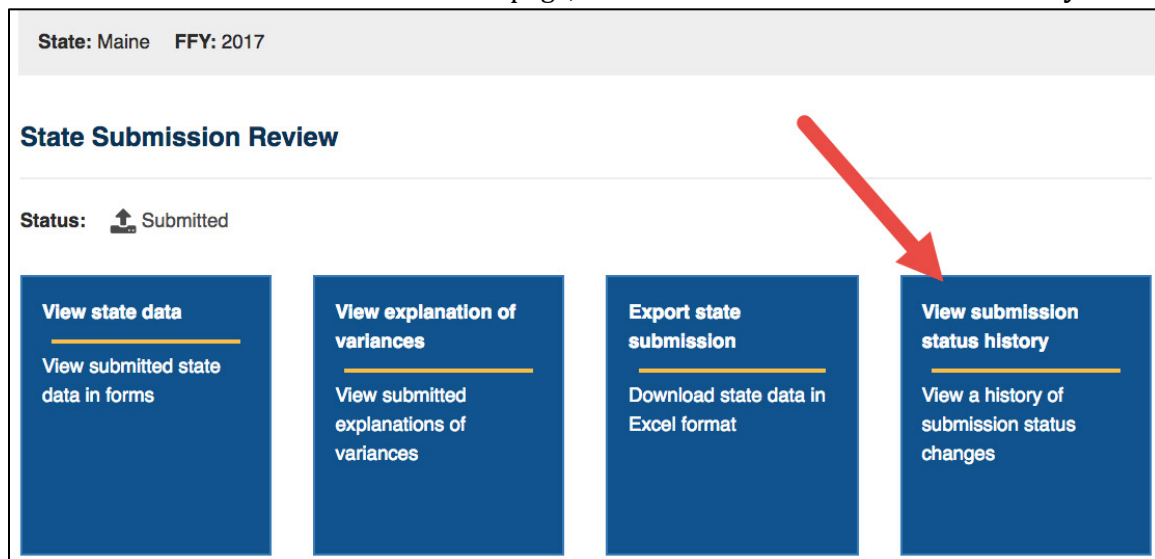
1. On the main navigation bar, select **Data Submissions**.



2. In the action column for the state in review, select **View**.



3. On the State Submission Review page, select **View submission status history**.



The Status History displays as follows:

State: Maine FFY: 2017			Go back to State Submission Review
Status History			Print status history
Status	Last Update	Comments	
Submitted	05/18/2018 at 8:02 AM by jmajoros@burlingtontelecom.net		
In progress	05/18/2018 at 7:57 AM by jmajoros@burlingtontelecom.net		
Submitted	05/18/2018 at 7:56 AM by jmajoros@burlingtontelecom.net		
In progress	05/16/2018 at 3:25 PM by jmajoros@burlingtontelecom.net		

4.3.3 Step 3: Approving Submissions

After reviewing a state's data and variance explanations, ACL reviewers must:

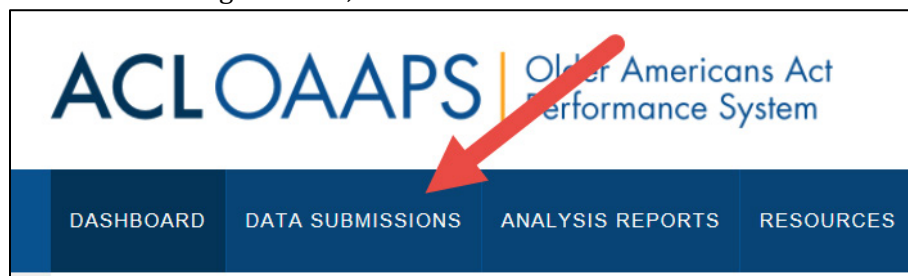
1. Decide whether to approve or return the submission to the state Ombudsman user for clarification or revision. If the data are "returned" the ACL reviewer must:
 - a. Prepare written comments
 - b. Submit the review decision and comments to the state
 - c. Review any corrections or additional information that the Ombudsman user submits in response to ACL's decision and comments
2. Approve and lock the submission.

4.3.3.1 Review Decision and Comments

After ACL reviewers examine a state's data and variance explanations, they must make a review decision.

To enter a review decision and comments:

1. On the main navigation bar, select **Data Submissions**.



2. In the action column for the state in review, select **View**.



3. On the State Submission Review page, if it has not been selected yet, select **Begin review**.

State: Maine FFY: 2017 [Go back to state listing](#)

State Submission Review

Status: Submitted

View state data
View submitted state data in forms

View explanation of variances
View submitted explanations of variances

Export state submission
Download state data in Excel format

View submission status history
View a history of submission status changes

Begin review

Reports
→ **Two-Year Compare Report**
Compare data reported across the current submission and last year
→ **Multi-Year Complaint Trend Report**
View complaint trends for the past five consecutive years
[Generate other reports](#)

4. In the Review Decision drop-down list, select **Approve** or **Return**.

Review Decision (Required)

▼

5. In the Review Comments text box, enter comments that:
 - a. Explain the review decision.
 - b. Ask the Ombudsman program user for clarification or additional information, if needed.

Review Comments (Required)

The number of facility visits has been trending up for the past five years. This year shows a sudden 9% decrease. Is this a data entry error? If not, please explain.

167 of 3400 characters

6. Select **Save draft review**.

Save draft review

The Save draft review decision enables reviewers to save their decision and comments before returning it to the Ombudsman program user for clarification or additional information.

4.3.3.2 Submitting a Review Decision

To submit a review decision:

1. On the State Submission Review page, select **Submit review decision**.

Submit review decision

Once the review decision is submitted the state's reporting status is changed to Returned on the All State Submission page, and the state is notified that the submission has been returned.

Submission Returned Status

FFY 2017 All State Submissions					
Show filters					
Actions on multiple states					
State ▲	Region	FFY	Status	Last Update	Actions
ME	1	2017	Returned	5/18/2018 at 1:08 PM by jmajoros@burlingtontelecom.net	

4.3.3.3 Returning the Submission

If ACL reviewers select **Return** as the Review Decision, it means the report is not complete or that it is internally inconsistent or inaccurate.

From there, the Ombudsman program user is notified and must respond to the ACL reviewer's comments. After the Ombudsman program user revises the report and re-submits, ACL reviews the submission again and must make a new review decision and submit new review comments.

These are two examples of when the ACL reviewer might return the submission:

- **Example #1.** The ACL reviewer reviews the Staff and Volunteers page. The user questions the large number of state and local volunteers who are not representatives of the office. Based on the data reported for the prior year, the ACL reviewer suspects that the large number might be a data entry error or a misunderstanding of the new definition of the Representative of the Office. The ACL reviewer will return the submission to the state for additional information or clarification.
- **Example #2.** The ACL reviewer reviews the Nursing Facility Complaint Example page. The reviewer sees the text in the Description and Disposition Narratives, but suspects that the Ombudsman program user entered this text as placeholders and forgot to enter the correct text before the Ombudsman program user submitted the report to ACL. The ACL reviewer will return the submission to the state for additional information or clarification.

4.3.3.4 Approving Submissions

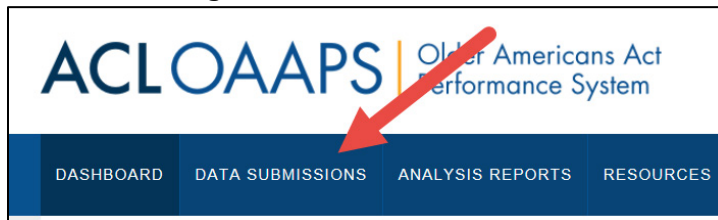
When ACL reviewers select “Approve” as the Review Decision, the Ombudsman program report is complete and internally consistent. OAAPS notifies the Ombudsman program user that the submission is approved.

4.3.3.5 Locking and Unlocking Submissions

After a state submission is approved, ACL reviewers with lock permissions can lock the submission so it cannot be edited or revised. The Ombudsman program user is notified when the submission is locked. Under rare circumstances, ACL reviewers can unlock a previously locked submission to allow the Ombudsman program user to correct or clarify its submission.

To lock a submission:

1. In the main navigation bar, select **Data Submission**.



2. On the Data Submissions tab, in the Actions on multiple states drop-down list, select **Lock data**.



3. In the Lock multiple state submissions window, select the state or states to be locked.

Lock multiple state submissions

Only states submissions that are in an Approved status can be Locked. Once Locked, ACL Approvers can no longer change the review decision for that state. A user with Locking capabilities must then Unlock the state to change the review decision.
Select the states you would like to set to Locked below.

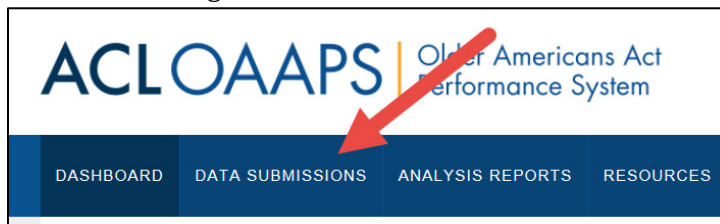
State	<input type="checkbox"/>	Status
NV	<input type="checkbox"/>	Approved

Save **Close**

4. Select **Save**.

To unlock a submission:

1. In the main navigation bar, select **Data Submission**.



2. In the Actions on multiple complaints window, select **Unlock data**.



3. On the Unlock multiple state submissions popup, select the state or states to be unlocked.

Unlock multiple state submissions

Only states that are in a Locked status can be Unlocked. Once Unlocked, the state's status would revert to Approved.

State		Status
ME	<input type="checkbox"/>	Locked

Save

Close

4. On the State Submission Review page, select **Save**.

When ACL locks or unlocks a submission, the state's status changes automatically on the Dashboard, the State Submissions Review page, and the All States Submission page.

Once the submission is locked, the Ombudsman program has fulfilled its responsibility to submit its Annual Ombudsman Report to ACL.

4.4 Exporting Data

OAAPS users can export data to an Excel file. The file contains data for every section of the report.

To export report data:

1. On the main navigation bar, select **Data Submission**.



2. In the Overview section, select **Export all data**



Users are able to export state data to an Excel file during their review process. The file contains data for every section of the report. Once a report has been generated and saved to a user's laptop or device, they can change the formatting of the report, including fonts, colors, and auto re-sizing.

To export report data:

1. On the main navigation bar, select **Data Submission**.



2. In the All State Submissions table, locate the state to view.


3. In the Actions column, select **View**.

View

4. On the State Submission Review page, select **Export state submission**.

State: Maine **FFY:** 2017

State Submission Review

Status:  In review

View state data
View submitted state data in forms

View explanation of variances
View submitted explanations of variances

Export state submission
Download state data in Excel format

View submission status history
View a history of submission status changes

5 Reports

5.1 Introduction

Ombudsman program users and ACL staff users have access to a variety of analysis reports that allow them to view and compare data at the state, regional, and national level. Every user has access to all analysis reports, although each user's ability to access data in a particular report may vary. Every user can download and print reports.

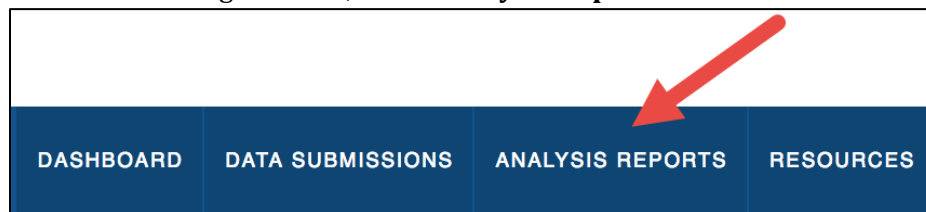
Analysis reports help Ombudsman program users and ACL staff users:

- Monitor the integrity of the data
- Track state, regional and national trends
- Get an overview of complaints, activities, organizational structure, and expenditures at the state, regional, and national level

5.2 Accessing Analysis Reports

To view the Analysis Reports:

1. On the main navigation bar, select **Analysis Reports**.



Ombudsman program users and ACL staff users can access all Analysis Reports.

Analysis Reports

ANALYSIS REPORTS

All reports are created in Microsoft Excel.

Activity Analysis Report <hr/> Includes the breakdown of activity data for a range of two to five years.	Annual Roll-Up <hr/> An aggregated summary of all numeric data at a national or regional level for a given fiscal year.	Complaint Analysis by Complainant Type <hr/> Includes the breakdown of all 59 complaint codes by complainant type.	Complaint Analysis by Complaint Code Report <hr/> Includes the breakdown of verification, resolution and referral data for all 59 complaint codes by facility setting.
Multi-Year Complaint Trend <hr/> The Multi-Year Complaint Trend Report shows trends in data across a two to five year range. The report shows trends in cases, complaint categories and codes, complaint disposition and complaint verification in all settings.	Table A - Selected Information: State and Region <hr/> A summary of all numeric state data presented by state and region which allows programs to compare amongst states and regions.	Two-Year Comparison Report <hr/> The Two Year Comparison Report compares Ombudsman program data between two fiscal years. The report includes actual reported data, the percentage difference between the two years and identifies and highlights variances at 10 or 25 percent.	

The table below describes:

- The Level of the report (state, regional, national) that Ombudsman Program and the ACL users can create for each Analysis Report;
- The Status of the states included in each Analysis Report; and
- The FFY (Federal Fiscal Year/s) that can be included in the report.

Detailed Analysis Reports Descriptions

Report Name	Description	Ombudsman Program User	ACL User
Activity Analysis	Includes activity data for a range of two to five years	<p><u>Level</u>: Their state, one state at a time, regional, national</p> <p><u>Status</u>:</p> <ul style="list-style-type: none"> • Their state in any status (except Not started) • One state at a time after all states are locked • Regional and national level reports only include states in locked status <p><u>FFY</u>: Any two to five FFYs, including the current reporting year</p>	<p><u>Level</u>: One or more states, regional, national</p> <p><u>Status</u>: Submitted, In Review, Approved, or Locked</p> <p><u>FFY</u>: Any two to five FFYs, including the current reporting year</p>
Annual Roll-Up	An aggregated summary of numeric data at a national or regional level for a given fiscal year	<p><u>Level</u>: Regional, national</p> <p><u>Status</u>: Locked</p> <p><u>FFY</u>: Any FFY when all states are locked, including the current reporting year</p>	<p><u>Level</u>: Regional, national</p> <p><u>Status</u>: Submitted, In Review, Approved, or Locked</p> <p><u>FFY</u>: Any FFY, including the current reporting year</p>
Complaint Analysis by Complainant Type	Includes complaint code data by complainant type for any given fiscal year	<p><u>Level</u>: Their state, one state at a time, regional, national</p> <p><u>Status</u>:</p> <ul style="list-style-type: none"> • Their state in any status (except Not started) • One state at a time after all states are locked • Regional and national level reports only include states in locked status <p><u>FFY</u>: Any FFY, including the current reporting year</p>	<p><u>Level</u>: One state at a time, regional, national</p> <p><u>Status</u>: Submitted, In Review, Approved, or Locked</p> <p><u>FFY</u>: Any FFY, including the current reporting year</p>
Complaint Analysis by Complaint Code	Includes verification, resolution and referral data for all	<p><u>Level</u>: Their state, one state at a time, regional, national</p> <p><u>Status</u>:</p>	<p><u>Level</u>: One state at a time, regional, national</p>

Report Name	Description	Ombudsman Program User	ACL User
	complaint codes by facility setting for any given fiscal year	<ul style="list-style-type: none"> • Their state in any status (except Not started) • One state at a time if the state is locked • Regional and national level reports only include states in locked status <p><u>FFY</u>: Any FFY, including the current reporting year</p>	<p><u>Status</u>: Submitted, In Review, Approved, or Locked</p> <p><u>FFY</u>: Any FFY, including the current reporting year</p>
Multi-Year Complaint Trend	Shows trends in cases, complaint categories and codes, complaint disposition and complaint verification in all settings across two to five years	<p><u>Level</u>: Only their state</p> <p><u>Status</u>: Any status (except Not started)</p> <p><u>FFY</u>: Any two to five FFYs, including the current reporting year</p>	<p><u>Level</u>: One or more states, regional, national</p> <p><u>Status</u>: Submitted, In review, Approved, or Locked</p> <p><u>FFY</u>: Any two to five FFYs, including the current reporting year</p>
Table A- Selected Information State and Region	A summary of all numeric state data by state and region which allows for comparison among states and regions for a given fiscal year	<p><u>Level</u>: One or more states or regions</p> <p><u>Status</u>: All states must be locked</p> <p><u>FFY</u>: Any FFY, including the current reporting year</p>	<p><u>Level</u>: One or more states or regions</p> <p><u>Status</u>: Submitted, In Review, Approved, or Locked</p> <p><u>FFY</u>: Any FFY, including the current reporting year</p>
Two Year Comparison Report	Compares data between two fiscal years. It identifies and highlights variances at 10 or 25 percent	<p><u>Level</u>: Only their state</p> <p><u>Status</u>: Any status (except Not started)</p> <p><u>FFY</u>: Any FFY, including the current reporting year</p>	<p><u>Level</u>: One or more states, regional, national</p> <p><u>Status</u>: Submitted, In review, Approved, or Locked</p> <p><u>FFY</u>: Any FFY, including the current reporting year</p>

5.2.1 Activity Analysis Report

The Activity Analysis report includes a breakdown of activity data for a range of two to five years.

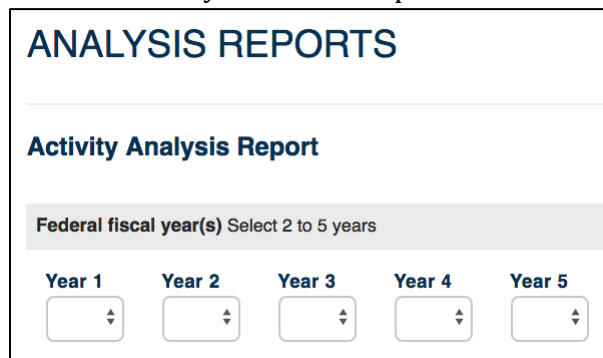
***Note:** Because OAAPS is a new system with little legacy data, this report will be limited in the range of years that can be viewed. This means that for the Activity Analysis report, until five years of data are entered into the system (about 2025), users will not be able to access all five years of data for the report.*

5.2.1.1 Activity Analysis Reports Ombudsman Program Users

Ombudsman program users can create an Activity Analysis Report for their state, region, and national for data that are locked.

To generate an Activity Analysis Report:

1. On the Activity Analysis Report page, in the Year 1, 2, 3, 4, and 5 drop-down lists, select the fiscal years for the report.



The screenshot shows a web interface titled "ANALYSIS REPORTS". Below the title is a section labeled "Activity Analysis Report". Underneath, there is a grey bar with the text "Federal fiscal year(s) Select 2 to 5 years". Below this bar are five drop-down menus labeled "Year 1", "Year 2", "Year 3", "Year 4", and "Year 5". Each menu has a small downward arrow icon.

Note: Users do not have to choose consecutive years.

2. Select **Generate Report**.

Generate report

Ombudsman program users can only generate a report for their state if their reporting status is in progress, submitted, in review, approved, or locked. They cannot generate an Activity Analysis report for another state, and they cannot generate regional or national level Activity Analysis reports.

5.2.1.2 Activity Analysis Reports for ACL Staff Users

ACL staff users can create national, regional, and state level Activity Analysis Reports.

To generate an Activity Analysis Report:

1. On the Activity Analysis Report page, in the Year 1, 2, 3, 4, and 5 drop-down lists, select the fiscal years for the report.



The screenshot shows a web interface titled "ANALYSIS REPORTS". Below the title is a section labeled "Activity Analysis Report". Underneath, there is a grey bar with the text "Federal fiscal year(s) Select 2 to 5 years". Below this bar are five drop-down menus labeled "Year 1", "Year 2", "Year 3", "Year 4", and "Year 5". Each menu has a small downward arrow icon.

Note: Users do not have to choose consecutive years.

2. Under State selection, choose whether to create a report at the national, regional, or state level.
 - a. For National level, select **All States – National Level**.
 - b. For regions or states, select **Selected states or regions**. In the expanded section, select the states and/or regions.

State selection

☐ All states - National level

☒ Selected states or regions

<input type="checkbox"/> Region 1	<input type="checkbox"/> Region 2	<input type="checkbox"/> Region 3	<input type="checkbox"/> Region 4	<input type="checkbox"/> Region 5
<input type="checkbox"/> CT	<input type="checkbox"/> NJ	<input type="checkbox"/> DC	<input type="checkbox"/> AL	<input type="checkbox"/> IL
<input type="checkbox"/> MA	<input type="checkbox"/> NY	<input type="checkbox"/> DE	<input type="checkbox"/> FL	<input type="checkbox"/> IN
<input type="checkbox"/> ME	<input type="checkbox"/> PR	<input type="checkbox"/> MD	<input type="checkbox"/> GA	<input type="checkbox"/> MI
<input type="checkbox"/> NH		<input type="checkbox"/> PA	<input type="checkbox"/> KY	<input type="checkbox"/> MN
<input type="checkbox"/> RI		<input type="checkbox"/> VA	<input type="checkbox"/> MS	<input type="checkbox"/> OH
<input type="checkbox"/> VT		<input type="checkbox"/> WV	<input type="checkbox"/> NC	<input type="checkbox"/> WI
			<input type="checkbox"/> SC	
			<input type="checkbox"/> TN	
<input type="checkbox"/> Region 6	<input type="checkbox"/> Region 7	<input type="checkbox"/> Region 8	<input type="checkbox"/> Region 9	<input type="checkbox"/> Region 10
<input type="checkbox"/> AR	<input type="checkbox"/> IA	<input type="checkbox"/> CO	<input type="checkbox"/> AZ	<input type="checkbox"/> AK
<input type="checkbox"/> LA	<input type="checkbox"/> KS	<input type="checkbox"/> MT	<input type="checkbox"/> CA	<input type="checkbox"/> ID
<input type="checkbox"/> NM	<input type="checkbox"/> MO	<input type="checkbox"/> ND	<input type="checkbox"/> HI	<input type="checkbox"/> OR
<input type="checkbox"/> OK	<input type="checkbox"/> NE	<input type="checkbox"/> SD	<input type="checkbox"/> NV	<input type="checkbox"/> WA
<input type="checkbox"/> TX		<input type="checkbox"/> UT		
		<input type="checkbox"/> WY		

3. Select **Generate Report**.

Generate report

When ACL staff users generate a regional or national level report, states in that region or in the nation that are in submitted, in review, approved, or locked status will be included in the report. The report will download as an Excel file and can be saved to the user's computer.

5.2.1.3 Activity Analysis Charts

Some of the data in the Activity Analysis Report can be viewed in charts when users open the Activity Analysis Report Excel file. Charts containing the following data are included in the report index:

- Information and assistance to individuals and staff
- Community education
- Resident and family council participation
- Training sessions for facility staff
- Facilities visited

5.2.2 Annual Roll-Up Report

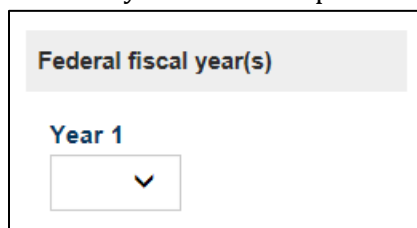
The Annual Roll-Up report is an aggregated summary of all numeric data at a national or regional level for a given fiscal year.

5.2.2.1 Generating Regional and National Level Annual Roll-up Reports

ACL staff users and Ombudsman program users can create regional and national level Annual Roll-Up Reports.

To generate an Annual Roll-Up Report:

1. On the Annual Roll-Up Report Two-Year page, in the Year 1 drop-down list, select the fiscal years for the report.

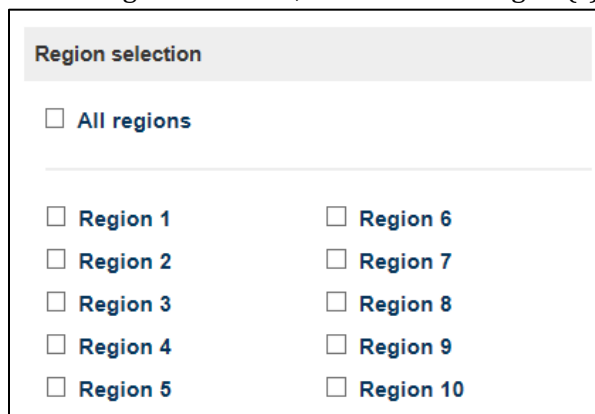


Federal fiscal year(s)

Year 1

▼

2. Under Region selection, choose which region(s) to include in the report.



Region selection

☐ All regions

☐ Region 1 ☐ Region 6

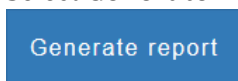
☐ Region 2 ☐ Region 7

☐ Region 3 ☐ Region 8

☐ Region 4 ☐ Region 9

☐ Region 5 ☐ Region 10

3. Select **Generate Report**.



Generate report

ACL staff users can generate regional or national level Annual Roll-Up Reports for states in submitted, in review, approved, or locked status.

Ombudsman program users can only generate state, regional, and national level Annual Roll-Up reports for years in which all states are in locked status.

5.2.2.2 Annual Roll-Up Charts

Some of the data in the Annual Roll-Up report can be viewed in charts when users open the Annual Report Roll-Up Report Excel file. Charts containing the following data are included in the report index:

- Complaints and complainants

- Program information
- Systems issues
- Organizational conflicts of interest
- Organizational location

5.2.3 Complaint Analysis by Complainant Report

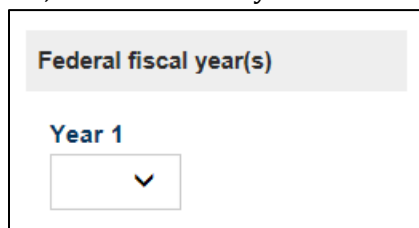
The Complaint Analysis by Complainant report includes all 59 complaint codes by complainant type.

5.2.3.1 Generating Complaint Analysis by Complainant Reports

ACL and Ombudsman program users can generate national, regional, or single state Complaint Analysis by Complainant Reports.

To generate the Complaint Analysis by Complainant Report:

1. On the Complaint Analysis by Complainant Report page, in the Year 1 drop down list, select the fiscal year for the report.



The screenshot shows a web form with a label 'Federal fiscal year(s)' in a grey box. Below it, the text 'Year 1' is displayed above a dropdown menu icon (a small downward arrow inside a box).

2. Under State selection, choose whether to create a report at the national, regional, or state level.
 - a. For National level, select **All States – National Level**.
 - b. For regions or states, select **Selected states or regions**. In the expanded section, select the states and/or regions.

State selection

☐ All states - National level

☒ Selected states or regions

<input type="checkbox"/> Region 1	<input type="checkbox"/> Region 2	<input type="checkbox"/> Region 3	<input type="checkbox"/> Region 4	<input type="checkbox"/> Region 5
<input type="checkbox"/> CT	<input type="checkbox"/> NJ	<input type="checkbox"/> DC	<input type="checkbox"/> AL	<input type="checkbox"/> IL
<input type="checkbox"/> MA	<input type="checkbox"/> NY	<input type="checkbox"/> DE	<input type="checkbox"/> FL	<input type="checkbox"/> IN
<input type="checkbox"/> ME	<input type="checkbox"/> PR	<input type="checkbox"/> MD	<input type="checkbox"/> GA	<input type="checkbox"/> MI
<input type="checkbox"/> NH		<input type="checkbox"/> PA	<input type="checkbox"/> KY	<input type="checkbox"/> MN
<input type="checkbox"/> RI		<input type="checkbox"/> VA	<input type="checkbox"/> MS	<input type="checkbox"/> OH
<input type="checkbox"/> VT		<input type="checkbox"/> WV	<input type="checkbox"/> NC	<input type="checkbox"/> WI
			<input type="checkbox"/> SC	
			<input type="checkbox"/> TN	
<input type="checkbox"/> Region 6	<input type="checkbox"/> Region 7	<input type="checkbox"/> Region 8	<input type="checkbox"/> Region 9	<input type="checkbox"/> Region 10
<input type="checkbox"/> AR	<input type="checkbox"/> IA	<input type="checkbox"/> CO	<input type="checkbox"/> AZ	<input type="checkbox"/> AK
<input type="checkbox"/> LA	<input type="checkbox"/> KS	<input type="checkbox"/> MT	<input type="checkbox"/> CA	<input type="checkbox"/> ID
<input type="checkbox"/> NM	<input type="checkbox"/> MO	<input type="checkbox"/> ND	<input type="checkbox"/> HI	<input type="checkbox"/> OR
<input type="checkbox"/> OK	<input type="checkbox"/> NE	<input type="checkbox"/> SD	<input type="checkbox"/> NV	<input type="checkbox"/> WA
<input type="checkbox"/> TX		<input type="checkbox"/> UT		
		<input type="checkbox"/> WY		

3. Select **Generate Report**.

Generate report

ACL staff users can generate one state at a time, regional, or national level Complaint Analysis by Complainant Reports for states in submitted, in review, approved, or locked status.

Ombudsman program users can generate a Complaint Analysis by Complainant Report for their own state, in any status, as long as they have started the reporting process. Any other state, regional, or national Complaint Analysis by Complainant Reports generated by the Ombudsman program users include only states in locked status.

5.2.3.2 Complaint Analysis by Complainant Charts

There are no charts for the Complaint Analysis by Complainant Report.

5.2.4 Complaint Analysis by Complaint Code Report

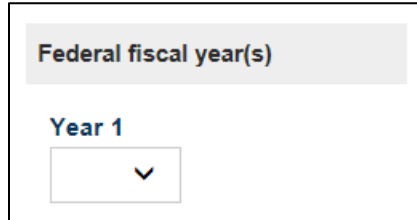
The Complaint Analysis by Complaint Code report includes verification, resolution, and referral data for all 59 complaint codes, displayed by setting.

5.2.4.1 Generating State, Regional, and National Level Complaint Analysis by Complaint Code Reports

ACL and Ombudsman program users can generate national, regional, or single state Complaint Analysis by Complaint Code Reports.

To generate the Complaint Analysis by Complaint Code Report:

1. On the Complaint Analysis by Complaint Code report page, in the Year 1 drop down list, select the fiscal year for the report.

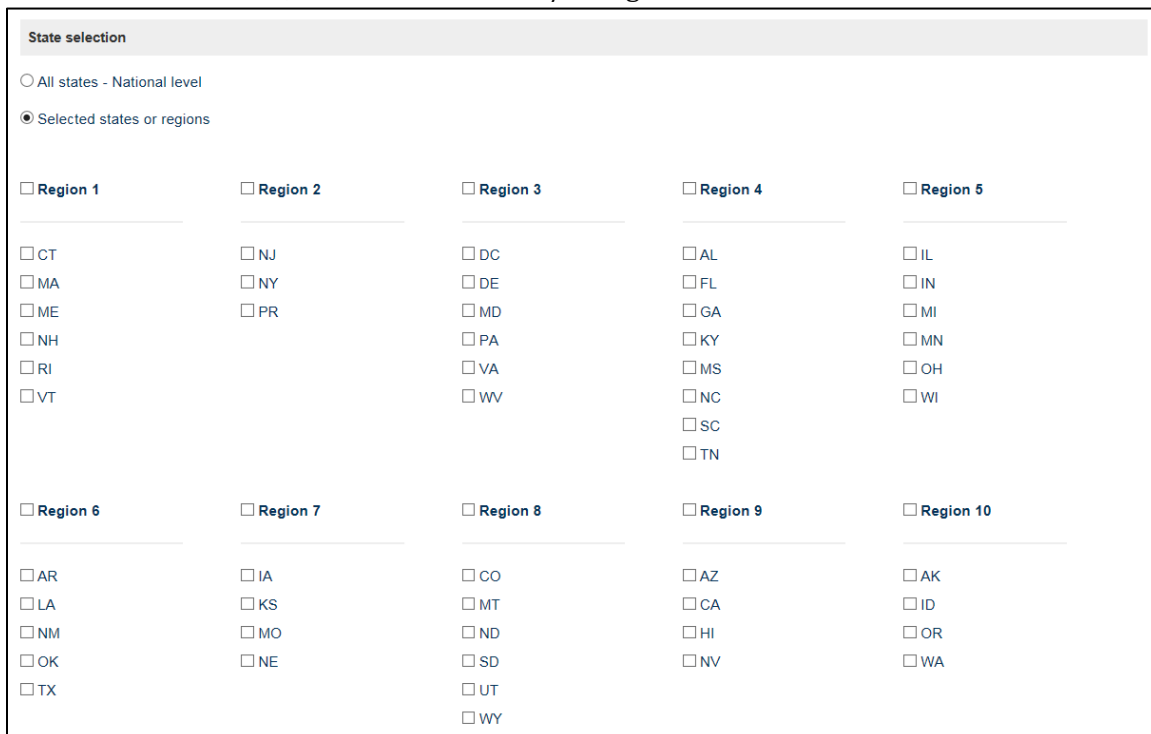


Federal fiscal year(s)

Year 1

▼

2. Under State selection, choose whether to create a report at the national, regional, or state level.
 - a. For National level, select **All States – National Level**.
 - b. For regions or states, select **Selected states or regions**. In the expanded section, select the states and/or regions.



State selection

☐ All states - National level

☒ Selected states or regions

Region 1	Region 2	Region 3	Region 4	Region 5
<input type="checkbox"/> CT	<input type="checkbox"/> NJ	<input type="checkbox"/> DC	<input type="checkbox"/> AL	<input type="checkbox"/> IL
<input type="checkbox"/> MA	<input type="checkbox"/> NY	<input type="checkbox"/> DE	<input type="checkbox"/> FL	<input type="checkbox"/> IN
<input type="checkbox"/> ME	<input type="checkbox"/> PR	<input type="checkbox"/> MD	<input type="checkbox"/> GA	<input type="checkbox"/> MI
<input type="checkbox"/> NH		<input type="checkbox"/> PA	<input type="checkbox"/> KY	<input type="checkbox"/> MN
<input type="checkbox"/> RI		<input type="checkbox"/> VA	<input type="checkbox"/> MS	<input type="checkbox"/> OH
<input type="checkbox"/> VT		<input type="checkbox"/> WV	<input type="checkbox"/> NC	<input type="checkbox"/> WI
			<input type="checkbox"/> SC	
			<input type="checkbox"/> TN	
Region 6	Region 7	Region 8	Region 9	Region 10
<input type="checkbox"/> AR	<input type="checkbox"/> IA	<input type="checkbox"/> CO	<input type="checkbox"/> AZ	<input type="checkbox"/> AK
<input type="checkbox"/> LA	<input type="checkbox"/> KS	<input type="checkbox"/> MT	<input type="checkbox"/> CA	<input type="checkbox"/> ID
<input type="checkbox"/> NM	<input type="checkbox"/> MO	<input type="checkbox"/> ND	<input type="checkbox"/> HI	<input type="checkbox"/> OR
<input type="checkbox"/> OK	<input type="checkbox"/> NE	<input type="checkbox"/> SD	<input type="checkbox"/> NV	<input type="checkbox"/> WA
<input type="checkbox"/> TX		<input type="checkbox"/> UT		
		<input type="checkbox"/> WY		

3. Select **Generate Report**.

Generate report

ACL staff users can generate one state at a time, regional, or national level Complaint Analysis by Complaint Code Report for states in submitted, in review, approved, or locked status.

Ombudsman program users can generate Complaint Analysis by Complaint Code Report for their own state, in any status, as long as they have started the reporting process. Any other state, regional, or national Complaint Analysis by Complaint Code Reports generated by the Ombudsman program users include only states in locked status.

5.2.4.2 Complaint Analysis by Complaint Code Charts

There are no charts for the Complaint Analysis by Complaint Code Report.

5.2.5 Multi-Year Complaint Trend Report

The Multi-Year Complaint Trend report shows trends in aggregated data across a two-to-five-year range. The report shows trends in cases, complaints categories and codes, complaint disposition, and complaint verification in all settings.

5.2.5.1 Generating State, Regional, and National Level Multi-Year Trend Reports for ACL staff users

ACL staff users can generate national, regional, and state level Multi-Year Trend reports.

To generate Multi-Year Trend Reports:

1. On the Multi-Year Trend Report page, in the Year 1, 2, 3, 4, and 5 drop-down lists, select the fiscal years for the report.

Federal fiscal year(s) Select 2 to 5 years

Year 1	Year 2	Year 3	Year 4	Year 5
<input type="text"/>	<input type="text"/>	<input type="text"/>	<input type="text"/>	<input type="text"/>

Note: Users do not have to choose consecutive years.

2. Under State selection, choose whether to create a report at the national, regional, or state level.
 - a. For National level, select **All States – National Level**.
 - b. For regions or states, select **Selected states or regions**. In the expanded section, select the states and/or regions.

State selection
☐ All states - National level
☒ Selected states or regions

<input type="checkbox"/> Region 1	<input type="checkbox"/> Region 2	<input type="checkbox"/> Region 3	<input type="checkbox"/> Region 4	<input type="checkbox"/> Region 5
<input type="checkbox"/> CT	<input type="checkbox"/> NJ	<input type="checkbox"/> DC	<input type="checkbox"/> AL	<input type="checkbox"/> IL
<input type="checkbox"/> MA	<input type="checkbox"/> NY	<input type="checkbox"/> DE	<input type="checkbox"/> FL	<input type="checkbox"/> IN
<input type="checkbox"/> ME	<input type="checkbox"/> PR	<input type="checkbox"/> MD	<input type="checkbox"/> GA	<input type="checkbox"/> MI
<input type="checkbox"/> NH		<input type="checkbox"/> PA	<input type="checkbox"/> KY	<input type="checkbox"/> MN
<input type="checkbox"/> RI		<input type="checkbox"/> VA	<input type="checkbox"/> MS	<input type="checkbox"/> OH
<input type="checkbox"/> VT		<input type="checkbox"/> WV	<input type="checkbox"/> NC	<input type="checkbox"/> WI
			<input type="checkbox"/> SC	
			<input type="checkbox"/> TN	
<input type="checkbox"/> Region 6	<input type="checkbox"/> Region 7	<input type="checkbox"/> Region 8	<input type="checkbox"/> Region 9	<input type="checkbox"/> Region 10
<input type="checkbox"/> AR	<input type="checkbox"/> IA	<input type="checkbox"/> CO	<input type="checkbox"/> AZ	<input type="checkbox"/> AK
<input type="checkbox"/> LA	<input type="checkbox"/> KS	<input type="checkbox"/> MT	<input type="checkbox"/> CA	<input type="checkbox"/> ID
<input type="checkbox"/> NM	<input type="checkbox"/> MO	<input type="checkbox"/> ND	<input type="checkbox"/> HI	<input type="checkbox"/> OR
<input type="checkbox"/> OK	<input type="checkbox"/> NE	<input type="checkbox"/> SD	<input type="checkbox"/> NV	<input type="checkbox"/> WA
<input type="checkbox"/> TX		<input type="checkbox"/> UT		
		<input type="checkbox"/> WY		

3. Select **Generate Report**.

Generate report

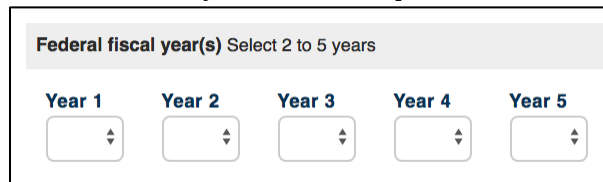
Only states with submitted, in review, approved, or locked status are included in ACL's state, regional or national level reports.

5.2.5.2 Generating State, Regional, and National Level Multi-Year Trend Reports for Ombudsman Program Users

Ombudsman program users can create a Multi-Year Trend report for their state.

To create a report for a state:

1. On the Multi-Year Trend Report page, in the Year 1, 2, 3, 4, and 5 drop-down lists, select the fiscal years for the report.



The screenshot shows a form titled "Federal fiscal year(s) Select 2 to 5 years". Below the title are five dropdown menus labeled "Year 1", "Year 2", "Year 3", "Year 4", and "Year 5". Each dropdown menu has a small upward and downward arrow icon.

Note: Users do not have to choose consecutive years.

2. Select **Generate Report**.

Generate report

Ombudsman program users can generate a report for their state if their status is in progress, submitted, in review, approved, or locked. They cannot create other state level, regional, or national Multi-Year Trend reports.

5.2.5.3 Multi-Year Trend Charts

Some of the data in the Multi-Year Trend report can be viewed in charts when users open the Multi-Year Trend report Excel file. Charts containing the following data are included in the report index:

- Complainant type
- Complaint category by setting
- Complaint disposition
- Complaint verification

5.2.6 Table A Report - Selected Information by State and Region

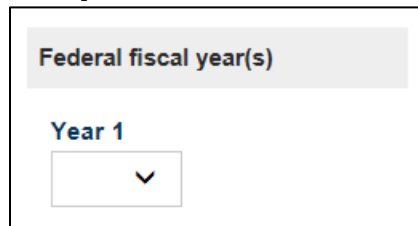
The Table A report provides a summary of all numeric state data by state and region, allowing for comparisons among states and regions.

5.2.6.1 Generating State and Regional Level Table A Reports

ACL and Ombudsman users can generate a Table A report that includes selected information by state and region.

To generate a Table A Report:

1. On the Table A report page, in the Year 1 drop-down list, select the fiscal years for the report.



The screenshot shows a form with two sections. The top section is labeled 'Federal fiscal year(s)' and has a light gray background. Below it is a section labeled 'Year 1' with a white background. Inside the 'Year 1' section is a drop-down menu with a downward arrow icon.

2. Under State selection, choose whether to create a report at the regional or state level.
3. Select **Generate Report**.

Generate report

Ombudsman program users can only select years in which all states are in locked status. However, ACL staff users can select any year. States in submitted, in review, approved, or locked status will be included in the report.

5.2.6.2 Table A Charts

Some of the data in the Table A report can be viewed in charts when users open the Table A report Excel file. Charts containing the following data are included in the report index:

- Case, complaint, and facility information
- Local entities, funds expended, staff and volunteers
- Number of nursing facilities and RCCs
- Facilities and resident capacity

5.2.7 Two-Year Comparison Report

The Two-Year Comparison report compares aggregated Ombudsman program data between two fiscal years. The report includes actual reported data for the two years. It also includes the percentage difference in the data between the two years. The report identifies and highlights variances of 10% or 25% that occur between the two years.

5.2.7.1 Generating State, Regional, and National Level Two-Year Comparison Reports for ACL staff users

ACL staff users have the option of generating national, regional, and state level Two-Year Comparison reports.

To generate the Two-Year Comparison Report:

1. On the Two-Year Comparison report page, In the Year 1 and 2 drop-down list, select two fiscal years to compare.

Federal fiscal year(s)

Year 1

▼

Year 2

▼

***Note:** The years do not have to be consecutive.*

2. Under State selection, choose whether to create a report at the national, regional, or state level.
 - a. For National level, select **All States – National Level**.
 - b. For regions or states, select **Selected states or regions**. In the expanded section, select the states and/or regions.

State selection

☐ All states - National level

☒ Selected states or regions

<p><input type="checkbox"/> Region 1</p> <hr/> <p><input type="checkbox"/> CT <input type="checkbox"/> MA <input type="checkbox"/> ME <input type="checkbox"/> NH <input type="checkbox"/> RI <input type="checkbox"/> VT</p>	<p><input type="checkbox"/> Region 2</p> <hr/> <p><input type="checkbox"/> NJ <input type="checkbox"/> NY <input type="checkbox"/> PR</p>	<p><input type="checkbox"/> Region 3</p> <hr/> <p><input type="checkbox"/> DC <input type="checkbox"/> DE <input type="checkbox"/> MD <input type="checkbox"/> PA <input type="checkbox"/> VA <input type="checkbox"/> WV</p>	<p><input type="checkbox"/> Region 4</p> <hr/> <p><input type="checkbox"/> AL <input type="checkbox"/> FL <input type="checkbox"/> GA <input type="checkbox"/> KY <input type="checkbox"/> MS <input type="checkbox"/> NC <input type="checkbox"/> SC <input type="checkbox"/> TN</p>	<p><input type="checkbox"/> Region 5</p> <hr/> <p><input type="checkbox"/> IL <input type="checkbox"/> IN <input type="checkbox"/> MI <input type="checkbox"/> MN <input type="checkbox"/> OH <input type="checkbox"/> WI</p>
<p><input type="checkbox"/> Region 6</p> <hr/> <p><input type="checkbox"/> AR <input type="checkbox"/> LA <input type="checkbox"/> NM <input type="checkbox"/> OK <input type="checkbox"/> TX</p>	<p><input type="checkbox"/> Region 7</p> <hr/> <p><input type="checkbox"/> IA <input type="checkbox"/> KS <input type="checkbox"/> MO <input type="checkbox"/> NE</p>	<p><input type="checkbox"/> Region 8</p> <hr/> <p><input type="checkbox"/> CO <input type="checkbox"/> MT <input type="checkbox"/> ND <input type="checkbox"/> SD <input type="checkbox"/> UT <input type="checkbox"/> WY</p>	<p><input type="checkbox"/> Region 9</p> <hr/> <p><input type="checkbox"/> AZ <input type="checkbox"/> CA <input type="checkbox"/> HI <input type="checkbox"/> NV</p>	<p><input type="checkbox"/> Region 10</p> <hr/> <p><input type="checkbox"/> AK <input type="checkbox"/> ID <input type="checkbox"/> OR <input type="checkbox"/> WA</p>

- c. Select **Generate Report**.

Generate report

Only states with submitted, in review, approved, or locked status can be included in ACL's state, regional, or national level or Two-Year comparison report.

5.2.7.2 Generating State Level Two-Year Comparison Reports for Ombudsman program users

Ombudsman program users can create a Two-Year Comparison report for their state.

To generate the Two-Year Comparison Report:

1. On the Two -Year Comparison report page, in the Year 1 and 2 drop down list, select two fiscal years to compare.



The screenshot shows a form titled "Federal fiscal year(s)". Below the title, there are two columns labeled "Year 1" and "Year 2". Each column contains a dropdown menu with a downward arrow icon, indicating that users can select specific fiscal years for comparison.

Note: The years do not have to be consecutive.

2. Select **Generate Report**.

Generate report

Ombudsman program users can only generate a report for their own state when their status is in progress, submitted, in review, approved, or locked. They cannot create other state level, regional, or national Two-Year Comparison reports.

5.2.7.3 Two Year Comparison Charts

Some of the data in the Two-Year Comparison report can be viewed in charts when users open the Two-Year Comparison report Excel file. Charts containing the following data are included in the report index:

- Number and FTEs of staff and volunteers and hours donated by volunteers
- Funding sources and funds expended
- Complaint categories by facility setting
- Complaint verification by facility setting
- Complaint disposition by facility setting
- Number of new individuals completing certification training and hours of training required for certification
- Ombudsman program activities by facility type, when available

5.3 Reformatting Reports

Once a report has been generated and saved to a user's laptop or device, they can change the formatting of the report, including fonts, colors, and auto re-sizing.

Appendix A: Terms and Definitions

The following table contains terms and definitions that may be useful when using OAAPS.

Term	Definition
Accept	This references submissions by the state for ACL to review. The next step in the process is for ACL to either approve or return the submission for correction.
Administration for Community Living	ACL brings together the efforts and achievements of the Administration on Aging, the Administration on Intellectual and Developmental Disabilities, and the HHS Office on Disability to serve as the Federal agency responsible for increasing access to community supports, while focusing attention and resources on the unique needs of older Americans and people with disabilities across the lifespan.
Application Program Interface	A set of routines, protocols, and tools for building software applications. An Application Program Interface (API) specifies how software components should interact. Additionally, APIs are used when programming graphical user interface (GUI) components. A good API makes it easier to develop a program by providing all the building blocks. A programmer then puts the blocks together.
Approve	A report status that means ACL accepts the report as complete.
Business Rule	This defines or constrains some aspect of the data element or referenced component. It is intended to assert a structure for the data element or other intended component. It helps to provide organization and clarity.
Cancel	If the user clicks on “cancel and return to overview” before saving, the data entered are not saved.
Format Rule	A rule that data must follow to be complete and consistent with OAAPS requirements.
Lock	A function whereby ACL locks an approved state report as final and does not make it available for further edits.
Merge	Combine, unite, or blend to create a single entity. In OAAPS, this term is used when existing data in OAAPS is combined with new, uploaded data.
Multi-Factor Authentication	Multifactor authentication (MFA) is a security system that requires more than one method of authentication from independent categories of credentials to verify the user's identity for a login or other transaction. Categories of credentials usually fall under the following three: what you know (password), what you have (phone, tablet, pc, etc.), and what you are (fingerprint scan). The OAAPS system will be a Two-Factor authentication system requiring a user password and verification from a user device such as a cell phone.

Term	Definition
Required Fields	Fields in OAAPS have been identified as required.
Return	The step in the data approval process where ACL sends the submission back to the state to make corrections and resubmit.
Save	After clicking Save , there should be a message that informs the user the data have been successfully saved.
Save and Next	The data are saved, and the system moves to the next section of submission.
Title	<p>OAAPS is used for grantee data submission related to three different ACL titles of the OAA:</p> <ul style="list-style-type: none"> • Title III & VII (Ch. 3 & 4): State Performance Report (SPR) • Title VI: American Indian, Alaskan Native, and Native Hawaiian Program • Title VII: Long-Term Care Ombudsman Program, National Ombudsman Reporting System (NORS)
Timeout	<p>After 10 minutes of inactivity, the user receives a message asking if they want to extend their session. If it is not extended, the user is signed out after an additional 5 minutes and returned to the sign in page.</p> <p>Important! If the user remains inactive, data that have been added without clicking “save” are not saved.</p>
User Functionality – Administrative User	OAAPS has a dedicated section on the site for user management functions. This entails adding users, assigning data entry and administrative functions, and editing user information.
User Functionality – Data Entry	This functionality allows the user to create, modify, and submit data.
User Functionality – View Only	A user with this functionality may browse OAAPS without the ability to edit data.
Validation	All data entered or uploaded in OAAPS are checked by OAAPS to ensure it meets the format and business rules identified by ACL. This data check is called validation and can be run by State and AAA users.
Variance	When there has been a 10 percent change increase or decrease in report data from one year to another for selected data elements, this is called a variance. Variance rules are established by ACL and built into OAAPS. Users need to run a variance check and enter explanations for any variances.