NATIONAL OMBUDSMAN REPORTING SYSTEM (NORS) TRAINING PART III & IV: OPEN DIALOGUE

VERIFICATION, DISPOSITION, REFERRAL, CLOSING CASES, AND OMBUDSMAN PROGRAM ACTIVITIES

December 17, 2019

Agenda

- Greetings from ACL

- Part III Review
  - Verification, Disposition, Referral, and Closing Cases Basic Principles

- Open Dialogue

- Part IV Review
  - Ombudsman Program Activities

- Open Dialogue

- Resources

Questions? Use the Q&A or Chat box.

Question & Answer

The Q&A window allows you to ask questions to the host and panelists. They can either reply back to you via text in the Q&A window or answer your question live.

1. Click Q&A to open the Q&A window.
2. Type your question into the Q&A box. Click **Send**.

Chat

The in-meeting chat allows you to send chat messages to and send a message to the host, panelists, and attendees (if permitted).

1. Click **Chat** to open the in-meeting chat.

2. The chat will appear on the right side of your Zoom window if you are not in full screen. If you are in full screen, it will appear in a window that you can move around your screen as needed.

3. To change who you are chatting with, click the drop down beside **To:**.
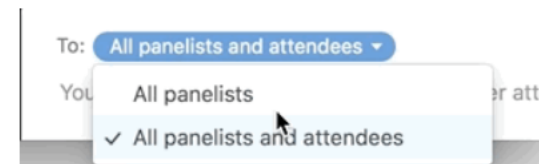
4. Type your message and press **Enter**.

ACL's Greetings

Louise Ryan

Ombudsman Program Specialist

Administration on Aging /Administration for Community Living

PART III

NORS Training Part III:
Verification, Dispositions, Referrals, and Closing Cases

The four documents pertaining to Part III NORS training materials are:

- Basic Principles
- Quiz
- Quiz Answer Sheet
- Closing the Case

https://ltcombudsman.org/omb_support/nors

NOTE: Questions 2 and 13 were revised in September 2019, please use this version.

PART III BASIC PRINCIPLES

PART III QUIZ

PART III QUIZ ANSWER SHEET

PART III CLOSING THE CASE

The National Long-Term Care Ombudsman Resource Center

NATIONAL OMBUDSMAN REPORTING SYSTEM (NORS) TRAINING PART III
Verification, Disposition, Referral, and Closing Cases

REMINDER: Throughout these training materials "Ombudsman" is used as a generic term that may mean the state Ombudsman, a representative of the Office, or the Ombudsman program. Use the NORS tables developed by the Administration for Community Living/Administration on Aging with these training materials when indicated (Table 1: NORS Case and complaint codes, values and definitions; Table 2: NORS Complaint codes and definitions; and Table 3 State Program Information, OMB Control Number 0985-0005).

Close the case when the following complaint information is complete:

✓ **Verification** – A confirmation that most or all facts alleged by the complainant are likely to be true. Select: Verified or Not verified

✓ **Referral Agency[1]:** The agency or agencies to which a complaint was referred to as part of the Ombudsman program's plan of action for complaint resolution. There can be multiple referrals to agencies in one complaint. Select:

01 Licensing, regulatory, or certification agency
02 Adult protective services
03 Law enforcement or prosecutor
04 Protection and advocacy
05 Legal services
06 No referral was made
99 Other (include type of agency, e.g. domestic violence center)

✓ **Disposition:** The final resolution or outcome of the complaint. Each complaint can have only one disposition. Select:

1. Partially or fully resolved to the satisfaction of the resident, resident representative, or complainant.

2. Withdrawn or no action needed by the resident, resident representative, or complainant.

[1] Refer to NORS Table 1, Part C – Case and Complaint Definitions, for definitions of each of the five agencies. NORS

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Basic Principles - Verification

- Verification is a confirmation that most or all facts alleged by the complainant are likely to be true.

- Each complaint must have a verification status, *verified* (01) or *not verified* (02).

Basic Principles - Verification

- Always attempt to determine the facts of complaints as part of the complaint investigation process.

- Investigate and work to resolve complaints on behalf of one or more residents for purposes of resolving the complaint to the resident's satisfaction and of protecting the health, welfare, and rights of the resident.

- Support and maximize resident participation in the process of resolving the complaint and follow the direction of the resident.

- Continue to work with the resident and resolve the complaint to their satisfaction, even when you cannot verify.

Basic Principles - Disposition

- Disposition is the final resolution or outcome of a complaint.

- You may perform many activities when resolving and investigating a complaint, but there is only one outcome.

- Each complaint must have a disposition code, whether the complaint is verified or not.

Basic Principles - Disposition

When choosing a disposition code <u>always follow the direction of the resident</u>.

If the resident cannot communicate his/her satisfaction, the ombudsman may look to the resident's representative or to the complainant to determine if the resolution is consistent with the rights and interests of the resident.

Disposition Codes

01 partially or fully resolved

02 withdrawn or no action needed

03 not resolved

If the resident cannot communicate

Rely on the perspective of a resident representative so long as the Ombudsman has no reasonable cause to believe that the resident representative is not acting in the best interests of the resident.

If the resident does not have a resident representative, the Ombudsman shall determine the complaint disposition.

- See 1324.19(b)(2)(G)(5) of the LTCOP Rule.
- See 1324.19(b) (2)(G)(iii)(B) of the LTCOP Rule.

Basic Principles - Referral Agency

- The agency or agencies to which a complaint was referred to as part of the Ombudsman program's plan of action for complaint resolution.

- Every complaint must have a referral code.

- You may have more than one referral agency for a complaint.

Referral Agency Codes

01 Licensing, regulatory, or certification agency

02 Adult Protective Services

03 Law enforcement or prosecutor

04 Protection and advocacy

05 Legal services

06 No referral was made

99 Other

Basic Principles - Complaint and Case Closed

- Each case must have only one case closed date.

- Each complaint must have only one complaint closed date.

- Close the case after completion of actions on all complaints within the case and every complaint has a referral code, verification, and disposition code.

OPEN DIALOGUE

Please type your questions into the Question and Answer box by clicking on the Q&A icon at the bottom of your screen.
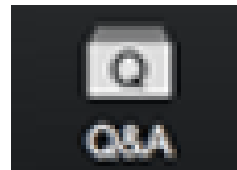
PART IV

NORS Training Part IV:
Ombudsman Program Activities

The three documents for the revised Part IV NORS training materials are:

- Basic Principles
- Quiz
- Quiz Answer Sheet

https://ltcombudsman.org/omb_support/nors

NOTE: Questions 9, 10, and 13 were revised in September 2019 and the answer to question 5 was revised in October 2019.
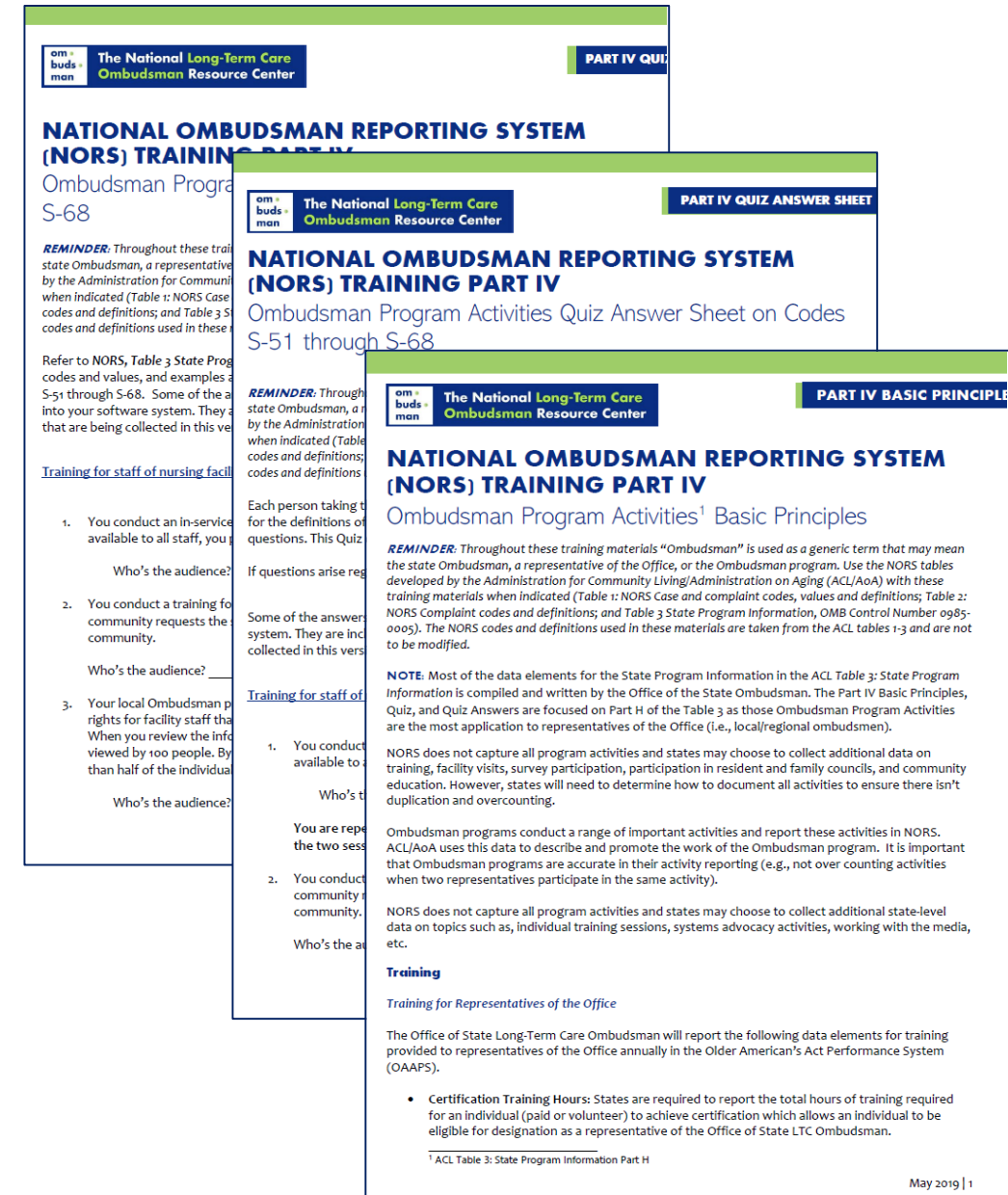
NORS Training Part IV: Basic Principles

- Most of the data elements for *ACL Table 3: State Program Information* is compiled and written by the Office of the State Ombudsman.

- NORS does not capture all program activities.

Basic Principles - Training

The Office of State Long-Term Care Ombudsman will report the following data elements for training provided to representatives annually.

- **Certification Training Hours:** The total hours of training required for an individual (paid or volunteer) to achieve certification which allows an individual to be eligible for designation as a representative of the Office of State LTC Ombudsman.

- **Continuing Education:** The annual number of hours of in-service training required for all representatives of the Office to maintain designation.

- **Individuals Completing Certification Training:** The total number of individuals (paid or volunteer) completing certification training within the federal fiscal year.

Basic Principles - Training

- **Training for Facility Staff by Ombudsmen**
  - Report the number of sessions conducted, and
  - the type of facility (nursing facility or residential care community) based on the facility affiliation of most of the participants for each session.

- **In-Person Training**
  - Report each training instance as a separate session even if repeated at the same facility, such as at different shifts, or when repeated at a conference.

- **Examples:**
  - The program provided an abuse prevention training to the morning and evening shift at a nursing home this equals two sessions.
  - The program provided morning and afternoon residents' rights training at an assisted living provider conference over two days. This equals four sessions.

Basic Principles - Training

- **Distance Learning (webinar, online courses, conference calls)**
  - To report distance learning there must be a way to track that participants completed the training and their facility affiliation.

  - Regardless of the number of attendees, a distance learning training program that tracks completion numbers and facility affiliation counts as one session.

- **Example**
  - There are two online training programs on residents' rights, one is for nursing facilities and the other is for residential care communities. The content of each is specific to the facility type. Therefore, the state will report two sessions in NORS, one under each facility type, provided at least one person completed each online training program.

Basic Principles – Facility Visits

- **Number of facilities visited regardless of the purpose (complaint or non-complaint).**
  - **Definition:** Total number of nursing facilities or residential care community facilities that received at least one visit by a representative of the Office during the reporting year, regardless of the purpose of the visit.

- **The total number of all visits.**
  - **Definition:** Total number of nursing facility and residential care community facility visits no matter the purpose of visit (complaint or non-complaint related) by representatives of the Office.

- **Number of facilities that had routine access.**
  - **Definition:** Total number of nursing facilities and residential care community facilities visited, not in response to a complaint, in all four quarters by representatives of the Office.

Basic Principles – Survey Participation

- Report each distinct type of survey activity as one instance by facility type.

  - **Definition:** Report the total number of instances of survey activity by representatives of the Office.
  - **Example:** Include participation in both standard surveys and complaint surveys.

- You may have more than one survey participation activity associated with one survey in one facility.

  - **Example:** A surveyor calls you prior to entering the building, and you provide information about your observations during your visits and the type of complaints you've handled. You also attend the exit survey. This would count as two instances of survey participation.

Basic Principles – Resident Council and Family Council Participation

- Report each distinct type of resident or family council participation as one instance by facility type. Participation includes meeting with council leadership, training the council, and/or attending a council meeting.

- **Tips**
  - If technical support, consultation, or resource information is provided to a resident council or family council outside of a council meeting, report that activity as an information and assistance activity (S-55).

  - If two Ombudsmen attend the same resident or family council meeting that participation should be reported as one instance.

Basic Principles – Community Education

- Report each instance of community education outreach sessions by Ombudsmen.

- **Tips**
  - Use for attendance at health fairs, community events, general presentations, etc.
  - The number of individuals attending the community education event is not collected in NORS.
  - If a community education session is provided by distance learning (such as a webinar, on-demand course, or conference call) there must be a way to track that participants completed the session in order to report it as a session in NORS.
  - Newsletters, blogs, and other forms of media do not count as community education.
  - If two Ombudsmen participate in the same community education event, it counts as one instance.

OPEN DIALOGUE

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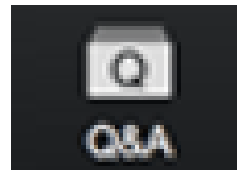
RESOURCES

NORS Instructions, Training, and Materials

https://ltcombudsman.org/omb_support/nors

Frequently Asked Questions

https://ltcombudsman.org/omb_support/nors/nors-faqs#complaint-coding

Questions? Comments?

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