NATIONAL OMBUDSMAN REPORTING SYSTEM (NORS) TRAINING PART II: COMPLAINT CODING

OPEN DIALOGUE

November 20, 2019
Agenda

• Comments from the Administration for Community Living

• Part II Training Materials
  • Complaint Coding Basic Principles
  • NORS Table 2: Complaint Codes and Definitions, Examples and Reporting Tips

• Open Dialogue

• Resources
Have a question? 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 Greetings

Louise Ryan
Ombudsman Program Specialist
Administration on Aging /Administration for Community Living
The five documents for the revised Part II NORS training materials are:

- Basic Principles
- Quiz
- Quiz Answer Sheet
- Beyond the Basics Quiz
- Beyond the Basics Quiz Answer Sheet

https://ltcombudsman.org/omb_support/nors/revised-nors-data-collection

NOTE: The answer to 4 in the D. Autonomy, Choice, Rights section was revised in September 2019.
Basic Principles

- Basic Principles document includes reminders and instructions for coding complaints.

- In these materials, “Ombudsman” is used as a generic term that may mean the state Ombudsman, a representative of the Office, or the Ombudsman program.
Basic Principles

- There are 59 complaint codes.
- Choose the one code which best fits the problem.
- Use the NORS, Table 2: Complaint codes and definitions document for all of the complaint codes, examples, and reporting tips.
Basic Principles

Abuse, Gross Neglect, Exploitation Complaints – Code A

• Use the applicable perpetrator code.
  • (1) facility staff, (2) another resident, (3) resident representative, family, or friend, or (99) other
    (See Table 1, Part B).

• A perpetrator is the person(s) who appears to have caused the abuse, gross neglect, or exploitation.

• There may be multiple perpetrators for each complaint.

• If the Ombudsman program and another agency (i.e. state survey agency, APS) are both actively involved in complaint investigation and resolution, it still counts as an Ombudsman program case.
NORS Table 2: Complaint Codes and Definitions

• ACL Table 2 has complaint codes, definitions, examples & reporting tips
  https://ltcombudsman.org/uploads/files/support/NORS_Table_2_Complaint_Code_04-30-2021-1.pdf

• Crosswalk B: Complaint Codes – Old NORS to Revised NORS
Table 2 – Complaint Codes and Definitions

Complaint: an expression of dissatisfaction or concern brought to, or initiated by, the Ombudsman program which requires Ombudsman program investigation and resolution on behalf of one or more residents of a long-term care facility.

Abuse, Gross Neglect, Exploitation (Code A)

Use this section for serious complaints of willful mistreatment of residents by facility staff, resident representative/family/friend, other residents or an outside individual. Indicate who appears to be the cause of the abuse, neglect or exploitation: (1) Facility staff, (2) another resident (3) resident representative, family, friend or (4) other.

<table>
<thead>
<tr>
<th>Label</th>
<th>Code</th>
<th>Definition</th>
<th>Examples and Reporting Tips</th>
</tr>
</thead>
<tbody>
<tr>
<td>Abuse: physical</td>
<td>A01</td>
<td>The intentional use of physical force that results in acute or chronic illness, bodily injury, physical pain, functional impairment, distress, or death.</td>
<td>Includes hitting, slapping, and pinching, kicking, etc. and/or controlling behavior through corporal punishment.</td>
</tr>
</tbody>
</table>
NEW – Complaint Code Resources

NORS Codes


NORS Codes, Definitions, Examples, and Reporting Tips

COMPLAINT CATEGORIES
A Codes – Abuse, Gross Neglect, Exploitation

• Use the A codes for complaints of abuse, gross neglect, and exploitation.

• Identify a perpetrator for each of the A code complaints.
  • (1) facility staff, (2) another resident, (3) resident representative, family, or friend, or (99) other (See Table 1, Part B).

• Five A codes, A01 – A05
B Codes – Access to Information

- Use this category for complaints against the facility regarding access to information made by or on behalf of the resident.

- Use for willful interference with Ombudsman duties.

- Three B codes, B01 – B03
C Codes – Admission, Transfer, Discharge, Eviction

• Use this category for complaints against the facility involving issues regarding admission, transfer, discharge, and/or eviction.

• Four C codes, C01 – C04.
D Codes – Autonomy, Choice, Rights

- Use this category for complaints involving facility staff failure to honor and promote a resident’s right or preferences.

- Nine D codes, D01 – D09.
E Codes – Financial, Property

• Use this category for complaints involving facility staff mismanagement of residents’ funds and property or billing problems.

• Two E codes, E01 – E02.
F Codes - Care

• Use this category for any complaint involving facility staff failure to provide care including poor quality care, planning and delivery.

• Twelve F codes, F01 – F12.
G Codes – Activities, Community Integration, and Social Services

• Use this category for any complaint involving activities, community integration or social services.

• Four G codes, G01 – G04.
H Codes - Dietary

• Use this category for complaints regarding food service, assistance.

• Three H codes, H01 – H03.
I Codes - Environmental

• Use this category for complaints involving the physical environment of the facility, including the resident’s space.

• Five I codes, I01 – I05.
J Codes – Facility Policies, Procedures, and Practices

• Use this category for acts of commission or omission by facility leadership/owners including administrators, resident managers, etc.

• Three J codes, J01 – J03.
K Codes – Complaints about an Outside Agency (non-facility)

• Use this category for complaints involving decisions, policies, actions or inactions by the programs and agencies, including private and public benefits.

• Six K codes, K01 – K06.
L Codes – System: Others (non-facility)

• Use this category for complaints involving decisions, policies, actions or inactions by systems other than the facility or the programs or agencies included in code K.

• Three L codes, L01 – L03.
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.
National Ombudsman Reporting System (NORS)

Ombudsman programs report their activities such as facility visits, complaints received and investigated, information and assistance provided, and community education to the Administration for Community Living (ACL)/Administration on Aging (AoA) to be summarized in the National Ombudsman Reporting System (NORS). NORS data is available on the ACL website here and here and on the NORS website.

The NORS data collection was revised effective October 1, 2019. The goal of revising NORS is to enhance ACL's ability to understand and report on Ombudsman program operations, experience of long-term care facility residents, and changes in long-term supports and services policies, research, and practices.

NORC updated the four-part NORS training materials to reflect the updated codes, definitions, and activities and instruct programs on how to record the work they do. The ACL NORS data collection tables are below and available on the ACL website.

- Introduction: NORS Revisions
- Table 1: NORS Parts A, B and C - Case and complaint codes, values, and definitions
- Table 2: Complaint codes and definitions
- Table 3: State Program Information
- Crosswalk A: NORS Overview
- Crosswalk B: Complaint Codes (Old NORS to Revised NORS)
- NORS Complaint Codes and Definitions (NEW!)
- NORS Complaint Codes (NEW!)
- NORS Training Materials (REVISED!)
- NORS FAQs (NEW!)
- NORS Data
- NORS Frequently Asked Questions Webinar

Are You A New Ombudsman?
Access resources to
Frequently Asked Questions

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

NORS Frequently Asked Questions (FAQs)

This page contains answers to frequently asked questions regarding the revised National Ombudsman Reporting System (NORS) - effective October 1, 2019. The answers were developed with input from members of the Workgroup to Improve NORS Consistency (WINC) and in coordination with the Administration on Aging/Administration for Community Living (click on “Answer” to read the answer to the question). View these FAQs in a PDF here. View the Asked and Answered: Frequently Asked Questions (FAQs) about the Revised NORS webinar recording which is based on the first round of FAQs.

Throughout these frequently asked questions, (FAQs) “Ombudsman” is used as a generic term that may mean the state Ombudsman, a representative of the Office, or the Ombudsman program.

If you have questions to suggest for additional FAQs, please email ombudcenter@theconsumervoice.org.

- Abuse, Neglect, and Exploitation
- Complainant
  - Complaint Coding
    - Disposition
    - Information and Assistance
    - Opening and Closing a Case
    - Referral
    - Survey Participation
    - Verification
    - Visits
NORS Open Dialogue Webinars

• Register for one webinar you are registered for the entire series.
  • **December 17, 3 – 4 ET:** Part III and IV Closing the Case and Activities – Open Dialogue

• Prior to joining the webinars, please do the following:
  • Review the [Administration for Community Living (ACL) NORS Tables 1 – 3](#).
  • Review the [NORS Training Materials](#) and listen to the [NORS Training Webinar series](#).
  • Read the [NORS Frequently Asked Questions (FAQs)](#) and listen to the [FAQ webinar](#).
  • Keep print and/or digital copies of the ACL Tables and other NORS resources available as a reference during the technical assistance open webinars.
  • Write down your questions so you are ready to share.
Contact Information

Amity Overall-Laib, NORC Director
aoverallllaib@theconsumervoice.org
(202) 332 2275 ext. 207

Louise Ryan, Ombudsman Program Specialist, AoA/ACL
louise.ryan@acl.hhs.gov
(202) 795-7355

Maria Greene
NORC Consultant
mgreene@theconsumervoice.org
(770) 668 6366
Connect with us:

www.ltcombudsman.org
ombudcenter@theconsumervoice.org

The National LTC Ombudsman Resource Center

@LTCombudcenter

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