

National Ombudsman Reporting System (NORS)

OMB Control Number 0985-0005

Table 1: NORS Parts A, B and C - Case and complaint codes, values and definitions

Expiration Date: 04/30/2021

Table 1: Part A-Case Data Components

Each case must contain a complainant, complaint code (s), a setting, verification, resolution, and information regarding whether a complaint was referred to another agency. Case and complaint data reported is only for those cases and complaints that were closed within the fiscal year.

| Element Number | Data Element | Definition | Quantifier | Type | Codes and Values | Examples and Reporting Tips |
|----------------|------------------|--|------------|---------------|---|--|
| CA-01 | Case Number | The unique identifier used for each case. | Single | Alpha-numeric | Not Applicable (NA) (not a coded element) | This is auto-created by the state software program. |
| CA-02 | Date Case Opened | Month, day, and year that the case was opened. | Single | Date | NA (not a coded element) | Each case must have a minimum of one complaint. Each case must have only one case open date. The case opened date must be on or before the case closed date. |
| CA-03 | Date Case Closed | Month, day, and year that the case was closed. | Single | Date | NA (not a coded element) | The year of case closure must be in the associated reporting period. Each case must have only one case closed date. The case closed date must be on or after the case open date. |

| Element Number | Data Element | Definition | Quantifier | Type | Codes and Values | Examples and Reporting Tips |
|----------------|---------------------|--|------------|--------------------|--|--|
| CA-04 | Facility or Setting | Type of facility or setting for the case. | Single | Alpha-numeric Code | 01-Nursing Facility 02-Residential Care Community 99-Other setting | Only one setting is allowed for each case. See Part C definitions (Element Number CA-04, Data Elements 01, 02 & 99). |
| CA-05 | Complainant | Complainant: an individual (i.e., resident, resident representative, family) who requests Ombudsman program complaint investigation services regarding one or more complaints made by, or on behalf of, residents. | Single | Alpha-numeric Code | 01. Resident 02. Resident representative, friend, family 03. Ombudsman program 04. Facility staff 05. Representative of other agency or program 06. Concerned person 07. Resident or family council 08. Unknown | See Part C definitions (Element Number CA-05, Data Elements 01-08). Only one complainant per case is allowed. Select the complainant type that best represents the complainant(s) for the case. |

Table 1: Part B - Complaint Data Components

| Element Number | Data Element | Definition | Quantifier | Type | Codes and Values | Examples and Reporting Tips |
|-----------------------|-----------------------|--|-------------------|---------------|---|---|
| CD-01 | Complaint number | The unique identifier used for each complaint. | Single | Alpha-numeric | Not Applicable (NA) (not a coded element) | This is auto-created by the state software program. |
| CD-02 | Date Complaint Opened | Month, day and year the complaint was opened. | Single | Date | NA (not a coded element) | Each complaint must have only one complaint opened date. The complaint opened date must be on or after the case opened date and on or before the case closed date. |
| CD-03 | Date Complaint Closed | Month, day and year the complaint was closed. | Single | Date | NA (not a coded element) | Each complaint must have only one complaint closed date. The complaint closed date must be on or after the case opened date and on or before the case closed date. |

| Element Number | Data Element | Definition | Quantifier | Type | Codes and Values | Examples and Reporting Tips |
|----------------|--------------|---|------------|------|---|--|
| CD-04 | 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. | Single | | <ul style="list-style-type: none"> A. Abuse, Gross Neglect, Exploitation B. Access to Information C. Admission, Transfer, Eviction D. Autonomy, Choice E. Financial, Property F. Care G. Activities and Social Services H. Dietary I. Environment J. Policies, Procedures K. Complaints about an Outside Agency L. System/Others (non-facility) | For the full list of codes and values, see Table 2. |
| CD-05 | Perpetrator | Person(s) who appears to have caused the abuse or neglect or exploitation. | Multiple | | <ul style="list-style-type: none"> 01-Facility Staff, 02-Another Resident 03-Family, Resident Representative, Friend 99-Other | <p>Only used for Abuse, Gross Neglect, and Exploitation complaints A01 to A05.</p> <p>There can be multiple perpetrators for each complaint.</p> |

| Element Number | Data Element | Definition | Quantifier | Type | Codes and Values | Examples and Reporting Tips |
|----------------|------------------------|---|------------|------|---|---|
| CD-06 | 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. | Multiple | | 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 | See definitions in Part C. There can be multiple referrals to agencies in one complaint. A code of 06 (None) cannot be combined with other codes for a complaint. |
| CD-07 | Complaint Verification | A confirmation that most or all facts alleged by the complainant are likely to be true. | Single | | 01-Verified 02-Not verified | Each complaint must have a verification status (verified or not verified.) |

| Element Number | Data Element | Definition | Quantifier | Type | Codes and Values | Examples and Reporting Tips |
|----------------|-----------------------|---|------------|--------------------|---|--|
| CD-08 | Complaint disposition | Final resolution or outcome of the complaint. | Single | Alpha-numeric code | <p>01-Partially or fully resolved to the satisfaction of the resident, resident representative or complainant.</p> <p>02- Withdrawn or no action needed by the resident, resident representative or complainant.</p> <p>03- Not resolved to the satisfaction of the resident, resident representative or complainant.</p> | Each complaint can have only one disposition code. |

Table 1: Part C - Case and Complaint Definitions

| Element Number | Data Element | Definition | Examples and Reporting Tips |
|----------------|-------------------------------|--|--|
| CA-04 | Facility or Setting | Description of where Ombudsman services are provided. | |
| CA-04 | 01-Nursing Facility | (A) Any skilled nursing facility, as defined in section 1819(a) of the Social Security Act (42 U.S.C. 1395i-3(a)); (B) any nursing facility, as defined in section 1919(a) of the Social Security Act (42 U.S.C. 1396r(a)). | |
| CA-04 | 02-Residential Care Community | <p>A type of long-term care facility as described in the Older Americans Act that, regardless of setting, provides at a minimum, room and board, around-the-clock on-site supervision, and help with personal care such as bathing and dressing or health-related services such as medication management.</p> <p>Facility types include but are not limited to: assisted living; board and care home; congregate care; enriched housing programs; homes for the aged; personal care homes; adult foster/ family homes and shared housing establishments that are licensed, registered, listed, certified, or otherwise regulated by a state.</p> | |
| CA-04 | 99-Other setting | A code for Ombudsman services offered as a state option, in settings beyond those defined as long-term care facilities in the Older Americans Act. | This code is used by Ombudsman programs that provide in-home care ombudsman services, managed care ombudsman and similar ombudsman services. |
| CA-05 | Complainant | An individual who requests Ombudsman program complaint investigation services regarding one or more complaints made by, or on behalf of, residents. | |

| Element Number | Data Element | Definition | Examples and Reporting Tips |
|----------------|--|---|-----------------------------|
| CA-05 | 01-Resident | An individual who resides in a long-term care facility. | |
| CA-05 | 02-Resident representative, friend, family | <p>Resident Representative, Friend, & Family: Resident Representative as defined in 45 CFR 1324.1 (1) An individual chosen by the resident to act on behalf of the resident in order to support the resident in decision-making; access medical, social or other personal information of the resident; manage financial matters; or receive notifications; (2) A person authorized by State or Federal law (including but not limited to agents under power of attorney, representative payees, and other fiduciaries) to act on behalf of the resident in order to support the resident in decision-making; access medical, social or other personal information of the resident; manage financial matters; or receive notifications; (3) Legal representative, as used in section 712 of the Act; or (4) The court-appointed guardian or conservator of a resident.</p> <p>Friend is a non-relative with a personal relationship with the resident as identified by the resident or complainant; family is spouse, sibling, other relative or as identified by the resident or complainant.</p> | |
| CA-05 | 03-Ombudsman program | Ombudsman program: the program through which the functions and duties of the Office are carried out, consisting of the Ombudsman, the Office headed by the Ombudsman, and the representatives of the Office. | |
| CA-05 | 04-Facility staff | Any employee or contractor of a long-term care facility who brings a complaint to the Ombudsman program regarding one or more residents. | |

| Element Number | Data Element | Definition | Examples and Reporting Tips |
|----------------|--|--|--|
| CA-05 | 05-Representative of other agency or program | Any representative of an agency, program or organization that refers a complaint to the Ombudsman program regarding one or more residents. | Includes medical personnel not associated with the facility, adult protective services, licensing and certification, law enforcement, other social services agencies, faith based communities, and bank employees. |
| CA-05 | 06-Concerned person | Any person not closely associated to a resident that refers a complaint to the Ombudsman program regarding one or more residents. | Includes neighbor to the facility, family member of another resident, person delivering supplies, barista, etc. |
| CA-05 | 07-Resident or family council | Organized, self-governing, decision-making groups of long-term care residents (resident council) or families (family council) who meet regularly to voice their needs and concerns and to have input into the activities, policies, and issues affecting the facility. | |
| CA-05 | 08-Unknown | The source of the complaint or the type of complainant is not known to the Ombudsman program. | Do not report complainants that wish to be anonymous as “unknown,” unless the source is not known to the Ombudsman program. |
| CD-06 | 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. | |
| CD-06 | 01-Licensing, regulatory or certification agency | Licensing or Regulatory or Certification Agency: Government units responsible for the licensing of facilities and agencies serving older adults and adults with disabilities. | |

| Element Number | Data Element | Definition | Examples and Reporting Tips |
|----------------|----------------------------------|---|-----------------------------|
| CD-06 | 02-Adult Protective Services | Adult Protective Services: A social services program provided by state and/or local governments serving older adults and adults with disabilities who are in need of assistance because of abuse, neglect, self-neglect, or financial exploitation. | |
| CD-06 | 03-Law enforcement or prosecutor | Law Enforcement or Prosecutor: People employed by a local, state, tribal, or federal justice agency. This includes police, courts, district attorney's office, probation or other community corrections agency, and correctional facilities; including the State Medicaid Fraud Control Unit, as defined in section 1903(q) of the Social Security Act (42 U.S.C. 1396b(q)) | |
| CD-06 | 04-Protection & Advocacy | Protection & Advocacy Systems: A system to protect and advocate the rights of individuals with developmental disabilities; as designated by the State, and as established under the Developmental Disabilities Assistance and Bill of Rights Act of 2000 (42 U.S.C. 15001 et seq.) | |
| CD-06 | 05-Legal services | Legal services: Entity or individual attorney providing legal representation and/or consultation to residents including but not limited to legal services funded through Older Americans Act or Legal Services Corporation funds, Ombudsman legal counsel or any other attorney. | |
| CD-06 | 06-None | No referral was made. | |
| CD-06.1 | 99-Other | Other: Any other entity to which a referral is made. | |