



The National **Long-Term Care**
Ombudsman Resource Center

NATIONAL OMBUDSMAN REPORTING SYSTEM (NORS) TRAINING PART I: OPEN DIALOGUE

*CASE, COMPLAINT, COMPLAINANT, INFORMATION AND
ASSISTANCE*

October 30, 2019

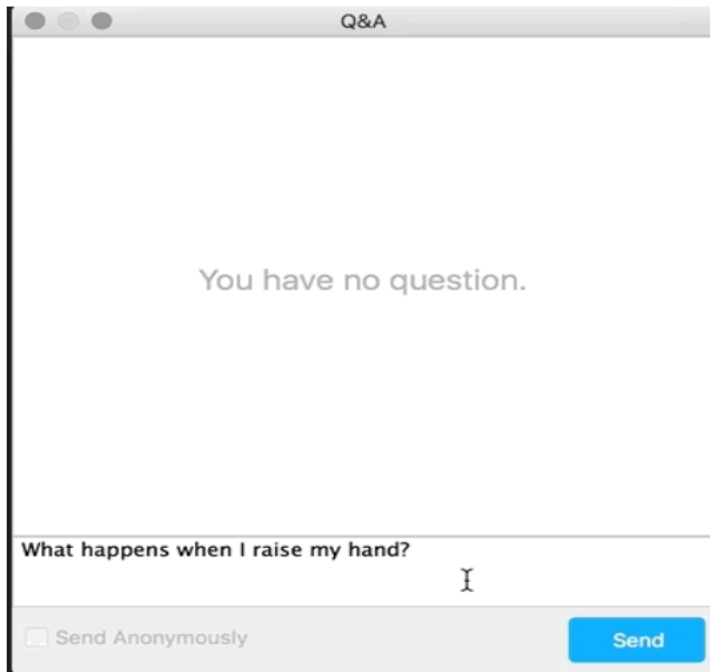
Have a question? Use the Q&A or Chat box.



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**.



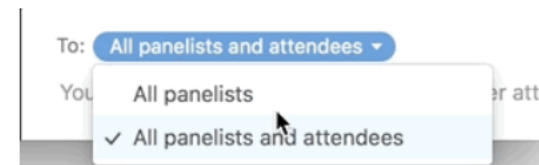
Chat

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**.

Agenda

- Greetings from ACL
- Highlights of Part I Elements
- Discussion
- Resources

ACL Greetings

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Ombudsman Program Specialist

Administration on Aging /Administration for Community Living

NORS Training Part 1: Case, Complaint, Complainant, and Information and Assistance

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

- Basic Principles
- Quiz
- Quiz Answer Sheet

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

The image displays three overlapping document thumbnails for the National Ombudsman Reporting System (NORS) Training Part I. Each document features the logo of The National Long-Term Care Ombudsman Resource Center in the top left corner.

- Top Document (Basic Principles):** Titled "BASIC PRINCIPLES" in a blue box. The main title is "NATIONAL OMBUDSMAN REPORTING SYSTEM (NORS) TRAINING PART I" followed by "Case, Complaint, Complainant AND Information and Assistance". It includes a "REMINDER" section and a list of definitions for a case, complaint, and information and assistance.
- Middle Document (Quiz):** Titled "QUIZ" in a blue box. It has the same main title and subtitle as the first document. It includes a "REMINDER" section, "Tips" for reviewing scenarios, and "Directions" for indicating the type of case or complaint.
- Bottom Document (Quiz Answer Sheet):** Titled "QUIZ ANSWER SHEET" in a blue box. It has the same main title and subtitle. It includes a "REMINDER" section, "Tips", and "Directions" for indicating the type of case or complaint, with a list of questions to be answered.

Basic Principles

- Basic Principles document includes important explanations and reminders.
- 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.

NATIONAL OMBUDSMAN REPORTING SYSTEM (NORS) TRAINING PART I

Case, Complaint, Complainant AND Information and Assistance

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. Additionally, NORS tables developed by the Administration for Community Living/Administration on Aging are to be used 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).

1. A case is comprised of a complainant, complaint code(s), a perpetrator for Abuse/Neglect and Exploitation codes, a setting, verification, resolution, and information regarding whether a complaint was referred to another agency.
 - Each case must have a minimum of one complaint.
 - A **complaint** is 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.
 - A **complainant** is an individual (i.e., resident, resident representative/friend/family, facility staff) who requests Ombudsman program complaint investigation services regarding one or more complaints made by, or on behalf of, residents.
2. **Information and assistance** is providing information to an individual or facility staff about issues impacting residents (e.g., resident rights, care issues, services) and/or sharing information about accessing services without opening a case and working to resolve a complaint.
 - a. Information and assistance may be provided through various means, including but not limited to telephone, by written correspondence such as e-mail, or in person.
 - b. It does not involve investigating and working to resolve complaints. The resident (or resident representative, where applicable) has not provided direction and consent to investigate a complaint.
 - c. Directing an individual to contact another agency for assistance does not constitute a case.

Basic Principles

A case is comprised of a:

- complainant,
- complaint(s),
- perpetrator for abuse/neglect/exploitation complaints (A codes),
- setting,
- verification,
- resolution, and
- information regarding whether a complaint was referred to another agency.

Basic Principles

Each case must have a minimum of one complaint.

A **complaint** is 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.

Basic Principles

A **complainant** is an individual (i.e., resident, resident representative*/family/friend, facility staff) who requests Ombudsman program complaint investigation services regarding one or more complaints made by, or on behalf of, residents.

**resident representative as defined in 45 CFR 1324.1*

Basic Principles

Key Changes:

- Consultation is now called **Information and Assistance**.
- NORS no longer requires the top three topics for information and assistance.

Information and Assistance is providing information to an individual or facility staff about issues impacting residents (e.g., resident rights, care issues, services) and/or sharing information about accessing services without opening a case and working to resolve a complaint.

Basic Principles

- Information and assistance may be provided through various means, including but not limited to telephone, by written correspondence such as e-mail, or in person.
- **It does not involve investigating and working to resolve complaints.** The resident (or resident representative, where applicable) has not provided direction and consent to investigate a complaint.
- Directing an individual to contact another agency for assistance does not constitute a case.

Table 1 – Case Data Components

Parts A, B, and C – Case and Complaint Codes, Values and Definitions

Administration for Community Living/Administration on Aging- Office of Long-Term Care Ombudsman Programs

National Ombudsman Reporting System (NORS)

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

OMB Control Number 0985-0005

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.

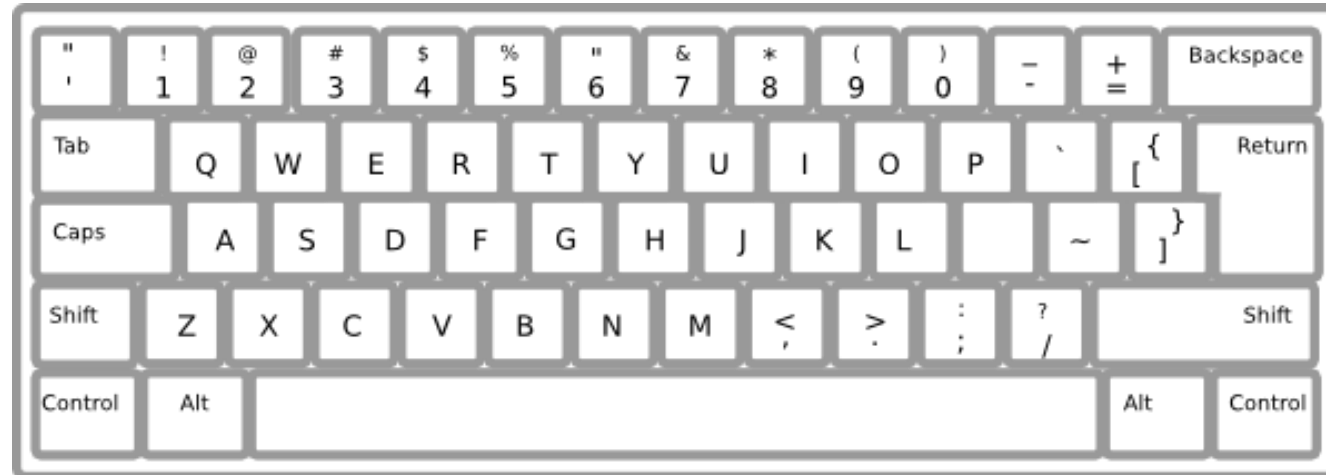
Element Number	Data Element	Definition	Quantifier	Type	Codes and Values	Examples and Reporting Tips
CA-01	Case Number	The unique identifier used for each case.	Single	Alpha-numeric	Not Applicable (NA) (not a coded element)	This is auto-created by the state software program.
CA-02	Date Case Opened	Month, 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.

Table 1 Highlights

- Case Data Components:
 - Date case & complaint opened and closed
 - Facility or setting
 - Complainant
 - Complaints (one or more)
 - Perpetrator
 - Referral agency
 - Verification
 - Disposition

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.



RESOURCES

NORS Instructions, Training, and Materials

https://ltcombudsman.org/omb_support/nors

NORC Webinars
NORC Notes
National Ombudsman Reporting System - (NORS)
▶ NORS Data
▶ NORS FAQs
▶ NORS Training
▶ NORS Frequently Asked Questions Webinar
Program Management
Program Promotion
Ombudsman Program Examples
Systems Advocacy
Technical Assistance FAQs
Training
Volunteer Management



Are You A New Ombudsman?

Access resources to

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 NORC [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**

Contact Information

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The National **Long-Term Care** **Ombudsman** Resource Center

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The National LTC Ombudsman Resource Center



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