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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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
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.
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

<table>
<thead>
<tr>
<th>Element Number</th>
<th>Data Element</th>
<th>Definition</th>
<th>Quantifier</th>
<th>Type</th>
<th>Codes and Values</th>
<th>Examples and Reporting Tips</th>
</tr>
</thead>
<tbody>
<tr>
<td>CA-01</td>
<td>Case Number</td>
<td>The unique identifier used for each case.</td>
<td>Single</td>
<td>Alpha-numeric</td>
<td>Not Applicable (NA) (not a coded element)</td>
<td>This is auto-created by the state software program.</td>
</tr>
</tbody>
</table>
| 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
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
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The National LTC Ombudsman Resource Center

@LTCombudcenter

Get our app! Search for "LTC Ombudsman Resource Center" in the Apple Store or Google Play

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