Automatic Action Item Messages

Action Item Messages – ACTS AND ACO/AST

The action items described here appear in ACTS as applicable for the logged-on user. CO users can see all RO broadcast messages, regardless of region.

The messages are listed in alphabetical order. The message number (if there is one) is in parentheses after the message title.

> **TIP**: A comprehensive list of action items for the logged-on user appears in AST. This includes all action items delivered through ASPEN applications: ACO, ACTS, AEM, and AST, as well as reminders of personal activities.

2802 Sent to State

Message is created when the Send 2802 to State button is pressed on (with required fields present), sends Action Item/email.

> Recipient: SA and RO staff and Team members assigned to the activity
>
> Format: 2802 SENT TO STATE FOR: <FACILITY NAME> (<TRACK ID>)

ACTS Assigned Activity (6)

Message is created when an activity is added on the Activities tab of an intake in ACTS.

> Recipient: SA, RO, and CO staff and Team members assigned to the activity
>
> Format: <ACTIVITY TYPE> FOR: <FACILITY NAME> (<INTAKE ID>)
>
> Example: LETTER TO PROVIDER/SUPPLIER FOR: <FACILITY NAME> (<INTAKE ID>)

Added to Survey Team (1)

Message is created when user is added to a survey team. Message is deleted when user is removed from the survey team or the survey is deleted.

> Recipient: SA, RO, or CO survey team member
>
> Format: SURVEY FOR: <FACILITY NAME> (<EVENT ID>) formerly INVESTIGATION FOR: <FACILITY NAME> (<EVENT ID>)

Complaint Closed (3)

Message is created when an intake is marked Finalized on the Actions/Close tab and the intake's status is set to 8 - Closed.

> Recipient: All RO and CO Responsible Parties, if any assigned to the intake; otherwise, broadcast to all RO users for current region, or all CLIA RO users if CLIA intake, as well as all CO users
>
> Format: COMPLAINT CLOSED: <FACILITY NAME> (<INTAKE ID>)

COW Request RO Approval (23)

CLIA only. Message is created when the Request for RO Approval checkbox is selected on the RO Approval tab, Certificate Type is Waiver, and intake status is set to 2 - Pending RO Approval. The date on the action item is the request date.

Recipient: All RO and CO Responsible Parties, if any assigned to the intake; otherwise, broadcast to all CLIA RO users for current region as well as all CLIA CO users

Format: COW REQUEST RO APPROVAL - <FACILITY NAME> (<INTAKE ID>)

COW RO Approval (24)

CLIA only. Message is created when an RO or CO user enters an RO Response and its Date on the RO Approval tab and Certificate Type is Waiver. All COW Request RO Approval messages for the current intake are closed.

Recipient: All SA Responsible Parties

Format: COW RO APPROVAL: <FACILITY NAME> (<INTAKE ID>) Supporting Materials 422 4/21/14 ACTS 10.1.6

Death-Rstrnt/Sclsn, Request Determntn (18)

Message is created when the Request RO Determination checkbox is selected in the Death Associated with the Use of Restraints/Seclusion section on the Allegations tab. The date on the action item is the request date if entered; otherwise, the date the action item was created is used.

Recipient: All RO and CO Responsible Parties, if any assigned to the intake; otherwise, broadcast to all RO users for current region as well as all CO users

Format: Death-Rstrnt/Sclsn, Request Determntn - <FACILITY NAME> (<INTAKE ID>)

Death-Rstrnt/Sclsn, RO Response (19)

Message is created when an RO or CO user enters an RO Determination and its Date in the Death Associated with the Use of Restraints/Seclusion section on the Allegations tab.

Recipient: All SA Responsible Parties

Format: Death-Restraint/Seclusion, RO Response - <FACILITY NAME>(<INTAKE ID>)

EMTALA Response from RO (13)

Message is created when an RO or CO user enters an EMTALA RO Response and its Date on the EMTALA tab. All EMTALA RO Approval Requested messages for the current intake are closed.

Recipient: All SA Responsible Parties

Format: EMTALA Response from RO - <FACILITY NAME> (<INTAKE ID>)

EMTALA RO Approval Requested (12)

Message is created when the EMTALA Request for RO Approval checkbox is selected on the EMTALA tab. The date on the action item is the request date if entered; otherwise, the date the action item was created is used.

> Recipient: All RO and CO Responsible Parties, if any assigned to the intake; otherwise, broadcast to all RO users for current region as well as all CO users
>
> Format: EMTALA request RO approval - <FACILITY NAME> (<INTAKE ID>)

Forwarded to CO (20)

Message is created for designated provider types when an RO or CO user enters a Forwarded to CO date. This field is at the bottom of the Investigation tab and also on the Actions/Close tab.

Message not created if provider type is 01U, 01V, 01W, 01X, 01Y, 01Z - Medicaid Only Hospitals, 024 NH - NF Only, 052 HHA - Medicaid Only, 061 PRTF - Medicare, or 111 ICF/IID - Medicaid.

> Recipient: All CO Responsible Parties, if any assigned to the intake
>
> Format: FORWARDED TO CO: <FACILITY NAME> (<INTAKE ID>) Action Item Messages Procedures Guide 4/21/14 423

Forwarded to RO (10)

Message is created for designated provider types when a user enters a Forwarded to RO/MSA date (Forwarded to RO date if CLIA). This field is at the bottom of the Investigation tab and also on the Actions/Close tab.

Message not created if provider type is 01U, 01V, 01W, 01X, 01Y, 01Z - Medicaid Only Hospitals, 024 NH - NF Only, 052 HHA - Medicaid Only, 061 PRTF - Medicare, or 111 ICF/IID - Medicaid.

> Recipient: All RO Responsible Parties, if any assigned to the intake; otherwise, broadcast to all RO users (CLIA RO users if CLIA intake) for current region, as well as all CO users (CLIA CO users if CLIA intake)
>
> Format: FORWARDED TO RO: <FACILITY NAME> (<INTAKE ID>)

Investigation Activity Auto-Creation

When an activity of Type 08 - Schedule Onsite Visit is added on the Activities tab, message 06 is sent if there is at least one survey team member. If not, it is automatically created when the team member(s) are first assigned. The survey team leader or, in lieu thereof, the first team member, is designated as the Responsible Party.

Also, message 01 is sent to all members newly assigned to the survey team. This message uses Alert 1 functionality; therefore, it will not appear as a separate type on Action Item filter lists.

Investigation Activity Auto-Update

When an intake is linked to a different survey, an existing activity of Type 08 - Schedule Onsite Visit is automatically updated with the appropriate survey date and team leader information. This message uses Alert 1 functionality; therefore, it will not appear as a separate type on Action Item filter lists.

Personal (PR) - Message is created when a personal activity is added to the My ASPEN personal calendar in AST. Displays in AST, ACO, and ACTS as long as the active My Selections doesn't filter on Facility Type.

Recipient: Staff member who added the activity

Format: Reminder: <HH:MMa/p> <Category-Activity>

Example: Reminder: 9:30a Meeting-Team Meeting

PPMP Request RO Approval (21)

CLIA only. Message is created when the Request for RO Approval checkbox is selected on the RO Approval tab, Certificate Type is PPMP, and intake status is set to 2 - Pending RO Approval. The date on the action item is the request date.

Recipient: All RO and CO Responsible Parties, if any assigned to the intake; otherwise, broadcast to all CLIA RO users for current region as well as all CLIA CO users

Format: PPMP REQUEST RO APPROVAL: <FACILITY NAME>(<INTAKE ID>)Supporting Materials 424 4/21/14 ACTS 10.1.6

PPMP RO Approval (22)

CLIA only. Message is created when an RO or CO user enters an RO Response and its Date on the RO Approval tab and Certificate Type is PPMP. All PPMP Request RO Approval messages for the current intake are closed.

Recipient: All SA Responsible Parties

Format: PPMP RO APPROVAL: <FACILITY NAME> (<INTAKE ID>)

Response from RO (11)

Message is created when an RO or CO user enters an RO Response and its Date on the Deemed or RO Approval tab. All RO Approval Requested messages for the current intake are closed.

Recipient: All SA Responsible Parties

Format: RESPONSE FROM RO FOR: <FACILITY NAME> (<INTAKE ID>)

Responsible RO (5)

Message is created when a Responsible RO or CO is specified on the Intake tab.

Recipient: RO or CO staff member assigned to the intake as a Responsible Party

Format: RESPONSIBLE FOR: <FACILITY NAME> (<INTAKE ID>)

Responsible SA (4)

Message is created when a Responsible SA is specified on the Intake tab.

Recipient: SA staff member assigned to the intake as a Responsible Party

Format: RESPONSIBLE FOR: <FACILITY NAME> (<INTAKE ID>)

Restraints/Seclusion Death (17)

Message is created when an allegation of type 05 - Restraints/Seclusion - Death is added to the Allegations tab in ACTS.

Recipient: All RO and CO Responsible Parties, if any assigned to the intake; otherwise, broadcast to all RO users for current region as well as all CO users

Format: Restraints/Seclusion Death - <FACILITY NAME> (<INTAKE ID>)

Revisit Requested (7)

Message is created when an SA user first enters a date in the Request RO Approval for Revisit field for a survey. This field is on the Investigation and Survey grid on the Investigation tab and on the Investigation/Revisit grid on the Investigation Properties tab in 562 View.

Recipient: All RO and CO Responsible Parties, if any assigned to the intake; otherwise, broadcast to all RO users for current region, or all CLIA RO users if CLIA intake, as well as all CO users

Format: REVISIT REQUESTED FOR: ACTS Status Levels and Detail Upload Triggers Procedures Guide 4/21/14 425

Revisit Response (8)

Message is created when an RO or CO user enters an RO Response and RO Response Date. These fields are on the Investigation and Survey grid on the Investigation tab.

Recipient: SA user who initially entered the Request RO Approval for Revisit date (see Revisit Requested message)

Format: RESPONSE RECEIVED FROM RO FOR REVISIT REQUEST:

RO Approval Requested (2)

Message is created when the Request for RO Approval checkbox is selected on the Deemed or RO Approval tab, and intake status is set to 2 - Pending RO Approval. For CLIA intakes, Certificate Type on the RO Approval tab must be Accredited. The date on the action item is the request date.

Recipient: All RO and CO Responsible Parties, if any assigned to the intake; otherwise, broadcast to all RO users for current region, or all CLIA RO users if CLIA intake, as well as all CO users

Format: RO APPROVAL - <FACILITY NAME> (<INTAKE ID>)

RO Final Action Signoff (14)

Message is created when the Final Action Signoff date is entered on the Investigation Properties tab. All RO action items for the current intake are closed. This message is deleted if the Final Action Signoff date is deleted, but all other closed RO action items will remain closed.

Recipient: All SA Responsible Parties

Format: Final Action Signoff: <FACILITY NAME> (<INTAKE ID>)

Unable to Upload Investigation

Message is created when an investigation survey upload (CSP-SRV) fails. Recipient can double-click to open the investigation.

Recipient: All Responsible Parties assigned to all linked intakes

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Message is created when an investigation survey upload (CSP-SRV) fails. Recipient can double-click to open the investigation.

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Unable to Upload Certkit

Message is created when a cert kit upload fails. Recipient can double-click to open the certification kit.

Recipient: All Responsible Parties assigned to the certification kit

AST Assigned Activity (16)

Message is created when an activity is added on the Activities/Action Items tab on the Tracking tab of a certification in AST.

Recipient: SA and RO staff and team members assigned to the activity

Format: <ACTIVITY TYPE> FOR:

Example: FILE REVIEW FOR:

Certification RO Approval Request (CLIA only) (25)

Message is created when the Request for RO Approval box is checked on the Tracking page of the Certification Sheet.

Recipient: All RO and CO Responsible Parties, if any assigned to the certification; otherwise, broadcast to all CLIA RO users for current region

Format: RO APPROVAL REQUEST – VALIDATION FOR

Certification RO Approval Response (CLIA only) (26)

Message is created when RO Response combo box is set to a value. This is located on the Tracking page of the Certification Sheet.

Recipient: All SA responsible parties

Format: RO RESPONSE – VALIDATION FOR

Certification Forward to RO (CLIA only) (27)

Message is created when a CLIA certification is flagged for RO review. This can be done either manually by selecting the Release for CMS Review check box on the Certification and Surveys tab or automatically by uploading a certification kit where L33 is required.

This message will be automatically closed when the Determination Approval (L33) Date is filled in.

Recipient: All RO and CO Responsible Parties, if any assigned to the certification; otherwise, broadcast to all CLIA RO users for current region

Format: FORWARD TO RO – CERTIFICATION FOR

Personal

Message is created when a personal activity is added to the My ASPEN personal calendar in AST.

Recipient: Staff member who added the activity

Format: Reminder: <HH:MMa/p> <Category-Activity>

Example: Reminder: 9:30a Meeting-Team Meeting

Unable to Upload CertKit

Message is created when a certification kit upload fails. Recipient can double-click to open the certification kit.

Recipient: All Responsible Parties assigned to certification kit

Action item Messages - AEM

In AEM, action items and case activities are tied together. Activities can be added to the case manually, or triggered by specific entries in ASPEN.

When a user adds an activity to an enforcement case, its action item is sent to the recipients specified in the activity. When an activity is added to the case automatically, the action item goes to the primary case workers.

Certain action items are triggered without a corresponding activity. The following action items are automatically triggered with or without an activity:

NEW SURVEY ADDED

NEW SURVEY activities and action items are triggered when a survey is created anywhere in ASPEN (ACO, ARO or ACTS) for a provider that has an active AEM enforcement case. The visit is added to the enforcement case, a NEW SURVEY ADDED activity is created for the case, and a NEW SURVEY ADDED action item is sent to the primary case workers.

IJ SITUATION ADDED

NH, HHA. When an IJ situation is added to an enforcement case, AEM sends an action item to the primary case workers.

IJ CHANGED/REMOVED BY IDR

NH only. When an IJ-level tag's Scope/Severity (S/S) is changed as a result of Informal Dispute Resolution or hearing, and the S/S change affects the status of the IJ situation, an IJ SITUATION CHANGED BY IDR activity is added to the case, and the primary case workers receive an action item.

2567 REVISED FOR APPEALED SURVEY

When the Revised 2567 date is changed on a survey that has a hearing associated with it in an AEM case, a 2567 REVISED FOR APPEALED SURVEY activity is added to the case and an action item advising of the changed date is sent to the primary case workers.

HEARING RESOLVED

When a hearing's Settle/Withdraw Date or Final Decision Date is entered, this action item is sent to both primary case workers. If the date is entered by one of the primary case workers, the action item is not sent to that person.

CMP PAYMENT POSTED BY OFM

When a Civil Money Penalty (CMP) payment is posted by OFM in the Installment Detail window, AEM sends an action item to the primary RO case worker. If a primary RO case worker is not assigned to the case, the action item is not sent.

A payment is considered posted when any/all of the following fields are changed and non-zero: Interest Amount, Medicaid Amount, Medicare Amount, Escrow Amount Collected, Total CMP Amount.

SUBSTANTIAL COMPLIANCE ACHIEVED

NH, HHA. When Substantial Compliance is achieved in a case, AEM sends an action item to the primary case workers.

NEW VISIT - COMPLIANCE REMOVED

NH, HHA. When the Shell Only option in Survey Properties is deselected, either manually or automatically, AEM adds the survey to an enforcement case if appropriate. If the enforcement case had Substantial Compliance and adding the survey removes compliance, AEM sends an action item to the primary case workers.

SUB. COMPLIANCE REMOVED/CASE REOPENED

NH, HHA. When Substantial Compliance is removed from a closed enforcement case, the case is reopened (Federal Status is set to Open-Active) and AEM sends an action item to the primary case workers.

AUTOMATIC INITIAL UPLOAD PENDING

When an automatic initial upload to national occurs, AEM sends an action item to the primary case workers.

REMOVE FROM NATIONAL UPLOAD PENDING

When an automatic remove from national occurs, AEM sends an action item to the primary case workers.