

ABOUT COMPLAINTS

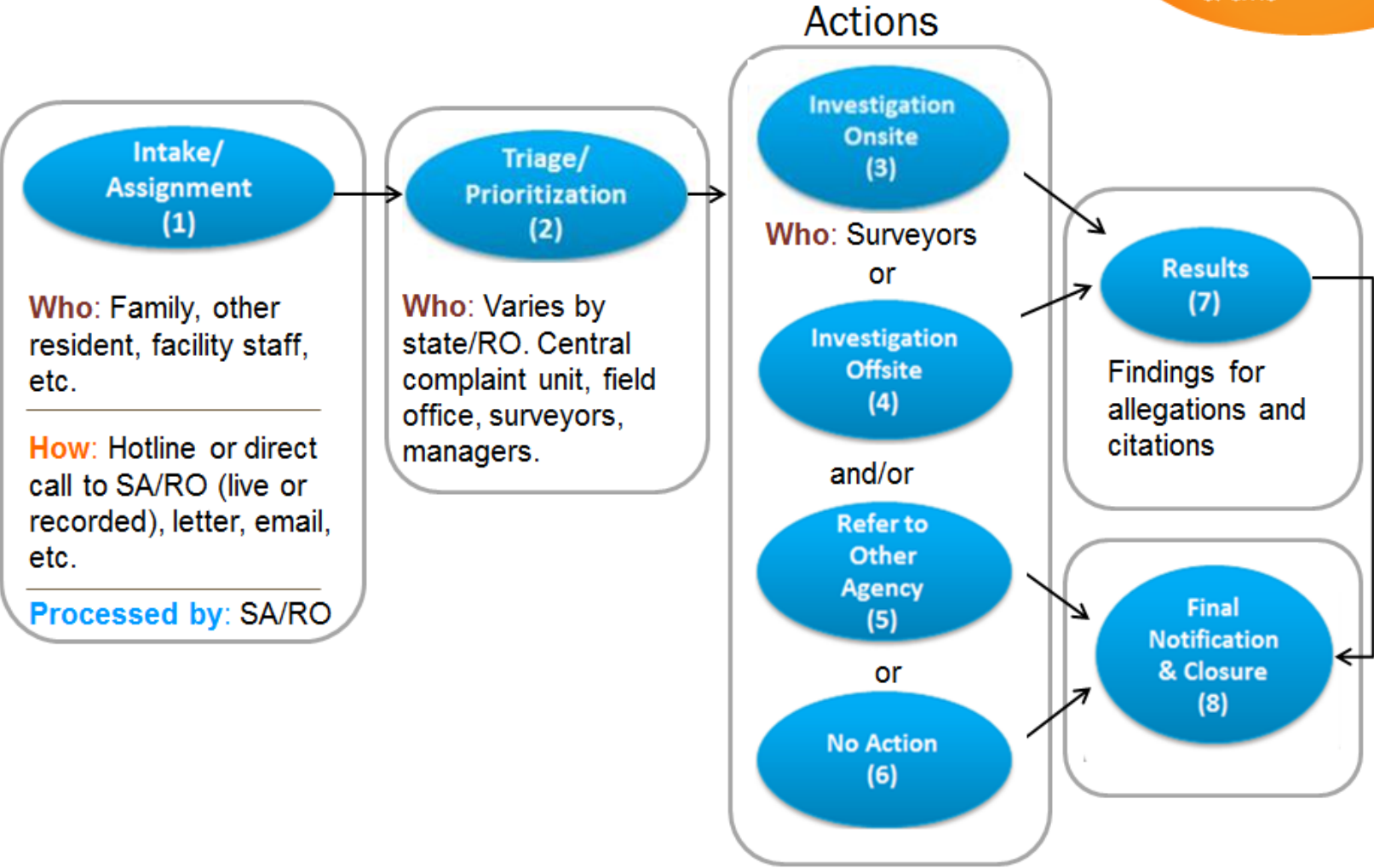
- Report of any event threatening the health, safety, and **welfare of beneficiaries**.
- CMS and/or state agencies must **process** all reported complaints/incidents.
- **Complaints** are reported by beneficiary, family members, ombudsmen, or other interested parties.
- **Incidents** are provider/supplier self-reported events.
- Complaint procedures are **complex** and involve numerous staff across distributed agencies.
- Applies to all **Medicare certified** providers/suppliers and CLIA laboratories.
- State **licensure** facilities compliant procedures may be operationally combined with CMS procedures.

SOM Chapter 5 Complaint Procedure Objectives:

- protective oversight
- prevention
- promote efficiency & quality of healthcare delivery

COMPLAINT BASIC PROCESS

Highly variable organizations and complaint management practices across states & CMS



COMPLAINT PROCESS AUTOMATION

- Comprehensively **manages** and **enforces** all SA and RO complaint procedures, business rules and operations.
- **Timely** delivery of **validated** data to national reporting systems (CASPER, QW) and downstream systems (e.g., NH Compare website).
- **Extensible** architecture supports state **licensure** complaint operations.
- **Integrated** with ASPEN platform for related processes, e.g., enforcement, onsite inspection, plan of correction.
- Extensive operations and management oversight **reporting**.
- Coordinates RO and SA **workflow** activities.
- Integrates with ASPEN platform for **security**, encryption, and system customization.



ACTS INDEPENDENT STUDY: BASIC

Hotline Call comes in on your Nursing Home

Potential Issue #1: No Dental services provided

Potential Issue #2: Not enough staff members

Potential Issue #3: Food cold

Generate Intake record

- Assign responsible team, Prioritize, Define Allegations

Onsite Investigation Required

- Findings:
 - First two issues substantiated (cite multiple tags!)
 - Third issue unsubstantiated

Link at least one deficiency to each of the first two allegations

Finalize

Print Investigation Report

- With joy, show Instructor
- Get chocolate

ACTS INDEPENDENT STUDY: EPOC

For the NH investigation survey created in the Basic Independent Study:

- Post the Statement of Deficiency for the survey so the provider can see it.
- Log in as provider, enter Plan of Correction (POC), submit both POC tags to SA
- Use ACTS POC Manager to reject one POC, and approve the other POC for the tags
- From POC Manager, Print a POC Audit Trail Report for your investigation survey
- View the history of automatically generated ePOC emails for your NH surveys

ACTS HEALTH/LSC QUESTION

- Complaint reported on a federal nursing home
Issue #1: Hallway too narrow for wheelchair
Issue #2: Staff neglecting residents
- Investigation of the allegations must occur on the same day
- How can this information be structured in ACTS so both Health and LSC citations, if any, can be uploaded to the national reporting database?
 - What should survey exit date(s) be?
 - What can survey Track ID(s) be?

ACTS HEALTH/LSC SOLUTION

With ACTS 10.2 release, this situation can more easily be accommodated:

- Intakes:
 - Create Intake #1: LSC for the *Hallway too narrow for wheelchair* allegation
 - Create Intake #2: for the *Staff neglecting residents* allegation
- Investigations:
 - Create one Health survey record
 - Create a separate LSC survey record
- Upload: Both surveys, even with same exit date and track ID (first four positions of Event ID) can upload for national reporting!

ACTS REPORT CHALLENGE

Generate a report that answers the following question:

#1 Senator calls and wants to know how many intakes related to deaths have been reported in the last two years?

#2 What day had the highest volume of intakes during the last month?

#3 For all provider types, on intakes received within the last 180 days what are the outstanding /pending activities?

#4 For all nursing homes with survey exit date in the current federal fiscal year to date, how many substantiated complaints were received?

ACTS REPORT SOLUTIONS

Possible reporting solutions (other options may exist!)

#1 Senator calls and wants to know how many intakes related to deaths have been reported in the last two years?

- Complaint/Incident Assignment Listing – Use filters!

#2 What day had the highest volume of intakes during the last month?

- Volume \ Details \ By Location Received

#3 For all provider types, on intakes received within the last 180 days what are the outstanding /pending activities?

- Outstanding Activities report

#4 For all nursing homes with survey exit date in the current federal fiscal year to date, how many substantiated complaints were received?

- Substantiated Reports \ Substantiated Complaint Details