Basic Complaint

Create an intake

Both SA and RO staff can create intakes. ACTS assigns every new intake an Intake ID and an initial status of Triage. You cannot create an intake if the provider is not in ASPEN Central Office.

> Our Scenario:
>
> A caller tells the state agency about issues at a nearby nursing home. He alleges problems with the facility's food that could adversely affect the quality of life for a resident.

1 Locate your nursing home

- Open **ACTS**.
- Activate the **NH Open** selection set.
- Click **Find** above the Tree view to open the Find window.
- In the Search field, enter all or part of the facility/provider name, **<A> - Training Nursing Home**, where A is your training letter.
- Select **Search By Name**.
- Click **Find Now** and double-click on your facility name.

This takes you to the facility in Tree view.

2 Create intake

- Right-click the facility name and select **New Intake**.

A new intake opens to the Intake tab. Note that you have been automatically added as a responsible party.

Enter the following:

- Click **Change Staff** and select any other name from the list.

ACTS supplies the name of the currently logged-in user. You can change the name if the intake was initially received by a different staff member.

- Intake Type: **01 Complaint**.
- Intake Subtype: **A Federal COPs, CFCs, …**
- Note that the Intake Status is **Triage/Prioritization**.

Status levels are determined by ACTS as the complaint/incident process progresses.

- Received by: **3 Telephone**
- Responsible Team: **Nursing Home 2 Hours from Denver**

3 Add Complainant

- On the Complainants tab, enter your last and first name in the **Last Name** and **First Name** fields.
- Click **Find/Add.**
- Click **OK** to the Not Found message.
- In the Enter New Complaint Search window, select **New**.
- Complete all fields in the Complainant Directory Input window.
- Click **OK** to enter yourself in the Complainant's grid.
- You do not need to be anonymous, so de-select the **Anonymous** checkbox in the grid.
- For the Alleged Event Date/Time, enter **5/3/2015** at **2:00PM**.
- In the Source section, select **06 - Family**.

4 Assign Priority

- For Priority, select **B – Non-IJ High**.

WARNING: Entering the Priority changes the Intake Status to Pending Review/Assignment.
You can also assign Priority on the Allegations or Deemed tabs.

- Set Start Date and End Date to **5/4/2015**.
- For Investigate within, enter **10** days.
- Click on **Calculate**, and select **Calendar Days**.

This inserts the **Investigation Due By** date.

- In the Intake Notes, type: **Food is unpalatable.**

5 Enter Allegations

- Go to the **Allegations** tab.
- Under the Allegations section, click **Add**.
- For Category, select **14 Dietary Services**.
- For Subcategory, select **01 Food Not Palatable**.

Note: The options available in the Subcategory list are customizable for each state. The options in your state may be different from those available here.

- Click **OK** to close the Allegation Input window.
- Click the **Details** button for the allegation and enter some text in the Details pane, then click **OK**.

6 Attach document to the intake

- Click **Attach** (at bottom of intake).
- In the Attachment Documents window, enter a Description of the document: **Volunteer Affidavit**.
- Select **Attach/View**.
- In Windows Explorer, navigate to **C:\Aspen Tech Training**.
- Locate and highlight the file named **2015 VolunteerAffidavit.doc** then click **Open**.
- Answer **No** to preview the document. You can use this window at any time to view an attachment, but we do not need to today.
- **Close** the Attachment Documents window.

> You need to send an action item to remind yourself about sending an acknowledgment letter to the complainant.
>
> An acknowledgement letter is required unless all complainants are anonymous for all complaint/incident intakes linked to the investigation.

7 Add Activity

- Go to the **Activities** tab.
- Under the Activities section, click **Add**.
- For Type, select **02 Letter to Complainant**.
- Enter **05/04/2015** for the Sent date.
- Click **Add S.A.** and add yourself, then click **OK**.
- Click **OK** to close the intake, then **OK** again to save.
- Press **F5** to refresh the screen.

You see an action item advising you to send a letter to the complainant regarding the new intake.

- If you see the action item, go to Step 8. If you do not see an Action Item, check your active Action Item Filter.
  - Expand My Action Items.
  - Right-click the active filter you created earlier and select Action Item Properties.
  - If you are not included in the Staff screen section, click the checkbox for **Include Action items for Current User** or add yourself to the list.
  - Click **OK**.

Now you should see the action item: Letter to Complainant.

8 Notify complainant

- Right-click the action item and select **Modify Intake**.
- At the bottom of the intake form, select the **Notices** button.
- In the Notices History window, select **New** next to the Letter History section.
- In the Form Letter section of the Select Letters and Distribution Lists window, select the acknowledgement letter, **GTD5-ACKNOWLEDGMENT**.

By default, only complaint letters are listed. Click Show All to see all letters.

- In the Distributions section, double-click the **Complainant** (your trainee name) so that **Letter** appears in the ACTION column.
- Select **Preview** to review the letter.
- Select **Save & Exit** in the upper left corner.

Your letter now appears in the Letter History section of the Notices History window.

- **Close** Notices History.

Prepare Investigation

9 Schedule the investigation

- Go to the **Investigation** tab.
- In the list of surveys in the Investigation and Surveys section, click **New**.
- Complete the Define Survey window, using **5/14/2015** for Start/Exit dates.
- Select the **Federal** regulation set.

By default, the Survey Type is Complaint Investigation, and the Extent is D-Other Survey.

- Click **Update** and add the SA version of yourself to the survey, then click **OK**.
- Click **OK** to close Define Survey.
- Click **Yes** on the Outside Date Range notification.
- Click **Yes** to link the intake to the survey.

10 Check status

- Go back to the **Intake** tab (Click **Yes** to override the edit about Investigation Completed Date).
- Scroll to the top of the Intake tab.

WARNING: Intake Status has changed to **4 - Under Investigation**.

- Click **OK** to close the intake, then **OK** again to save and exit.

Survey Transfer

You can transfer intake information from ACTS to ASE-Q and back as needed by exporting the survey to which the intake is linked. When you export a survey from ACTS, any linked intake information is also exported. This way, you can deliver intake information from its entry point through an export transfer file to field surveyors' laptops running ASE-Q. Surveyors can change survey information and some intake information in ASE-Q, and export the survey and linked intake back to ACTS. Transfer file data is encrypted to protect confidential information.

Export to ASE-Q

11 Go to the intake

- In the ACTS tree, expand **<A> TRAINING Nursing Home**, where A is your training letter.

12 Select the file

- Drag the intake to the **Export** button on the ACTS toolbar.
- In the Export window, select **Other Location**, then click the **Binoculars** button.
- Select **C:\Aspen Tech Training**.
- The ASPENTX.zip file should appear as the File name.
- Click **Open**, and click **OK** in the Export window.

13 Export the survey

In the Survey Export window, the survey is pre-selected for you.

- Select **Continue with Export**.
- In the Finalize Transfer window, click **Apply** to complete the transfer.

Import into ASE-Q

14 Login to ASE-Q

- Open **ASE-Q**.
- In the Login window, enter your trainee user name and password, then click **Log In**.

16 Select the file

- Select the **Import** button on the ASE-Q toolbar.
- In the Import window, select **Other Zip File Location**, then click the **Binoculars** button.
- In the Select for Import window, select **C:\Aspen Tech Training**.
- Double-click the **ASPENTx.zip** file.

The ASPENTX.zip file should appear in the File name: field.

- Click **OK** in the Import window.

17 Import the survey

- In the Survey Import window, select the survey for <A>-Training Nursing Home.
- Click **Continue with Import**.
- In the Finalize Transfer window, click **Apply** to complete the transfer.

Citation Manager

18 Enter Initial Comments

- Expand the node next to your training letter.
- Click the **+** next to **<A>TRAINING Nursing Home**, where A is your training letter.
- Right-click the survey, then select **Citation Manager**.
- If the Add Team Member window appears, select your training user name and click **OK**.
- Double-click **Initial Comments** to move it from the Regulations into the Citations grid.
- Click **OK** on Citation Properties.
- Enter your findings in the Citation word processor - **Allegation is substantiated.**

19 Enter content library text

We will also enter some standard text and store it in the Content Library.

- Click the icon that looks like a book.
- Click **New**.
- For Description, enter **Fed Complaint Substantiated**.
- For the text, enter the following form letter text:

A complaint investigation was conducted on (DATE). (Facility name) is/is not in compliance. The following deficiencies were cited: ()

- Click **OK**.
- Click **Close**.
- Click the **book** icon again and highlight the text you just entered.
- Click **Insert**.

- Fill in the blanks for:
  - Date: **05/14/2015**
  - Facility name: **<A> Training Nursing Home**
  - Delete: **is/** so that it reads is not in compliance
  - Deficiencies cited: **368, 371**
- Click **OK** to close the Citation window.

20 Cite deficiencies

- Cite the following tags
  - Tag 368**:**
    - Type **0368** in the Find field.
    - Double-click the tag or drag it into the Citations pane.
    - For Severity/Scope, select **A,** and click **OK.**
    - Click the **Reg** button to display the regulation text for the tag. Highlight some text and drag it into the word processor field, then click **OK**.
  - Tag 371**:**
    - Type **0371** in the Find field.
    - Double-click the tag or drag it into the Citations pane.
    - For Severity/Scope, select **D**
    - Click the **Reg** button to display the regulation text for the tag. Highlight some text and drag it into the word processor field, then click **OK**.
- Click **Done** to exit Citation Manager.

Export survey from ASE-Q

21 Export survey from ASE-Q

- Expand the provider.
- Right-click the survey, select **Send To**, then **Export**.
- In the Export window, select **Other Zip File Location**.

C:\Aspen Tech Training \ASPENTX.ZIP should appear in location field. If not, you can type in the location, or click the **Binoculars** button and navigate to the location.

- Click **OK**.

In the Survey Export window, the survey is pre-selected for you.

- Select **Continue with Export**.
- In the Merge Fields window, select **Continue with Transfer**.
- In the Finalize Transfer window, click **Apply** to complete the transfer.
- Close ASE-Q

Import into ACTS

22 Locate the file

- Open **ACTS**.
- Click **Import** on the ACTS toolbar.
- In the Import window, select **Zip or mdb file**.

C:\Aspen Tech Training\ASPENTX.ZIP should appear in location field. If not, you can type in the location, or click the **Binoculars** button and navigate to the location.

- Click **OK**.

23 Import the file

- In the Survey Import window, select the survey to import.
- Select **Continue with Import**.
- In the Merge Fields windows, select **Continue with Transfer**.
- In the Finalize Transfer window, click **Apply** to complete the transfer.

View/Update Investigation

24 Open the intake

- Expand the node for your training letter.
- Click the **+** next to <**A> TRAINING Nursing Home**, where A is your training letter.
- Right-click your intake, then select **Modify Intake**.

25 View the survey

- Go to the **Investigation** tab.
- Verify that your survey is selected in the Investigations and Surveys section, then click **Citation Manager**.
- Review your citations.
- Click **Done** to exit Citation Manager.

26 Update the 670

- Click **Update 670** and add hours in the Pre-Survey Hours, On-Site column, Travel and Off-Site columns.
- Click **Office Hours**.
- Enter time in all SA columns.
- Click **OK**.
- **Close** the 670 Workload Detail.

27 Link Tags and Update Allegation

- Go to the **Allegations** tab and click **Yes** to override any edit checks.
- With the Allegation highlighted, click **Link Deficiencies**.
- Select each of your deficiencies, clicking **Yes** on the appending tag text into findings message for each.

- Click **OK**.
- With the Allegation highlighted, click **Modify**.
- Under Findings, select **Substantiated** and **A Federal deficiencies related to alleg are cited**.
- Click **OK**.

28 Enter Actions/Close

- Go to the **Actions/Close** tab.

Notice that 40-Enforcement Action has been added as a Proposed Action since at least one of the tags on the survey has a Scope/Severity level of D or above.

Note: For non-NH facilities, or for NH intakes without a S/S of D or above, you may select from a predefined list of Proposed Actions possibilities.

29 Investigation Report

The Investigation Report collects all information contained in the intake into one report.

- At the bottom of the intake, click **Print**.
- Click **Investigation Report** and click **OK**.
- Click **OK** to hide brackets …
- Review the report and then close it.

Support Staff

Generate a Statement of Deficiencies (SOD) letter and send the CMS-2567 via the ePOC application.

30 Generate SOD letter

- Click the **Notices** button at the bottom of the intake.
- In the Letter History section, click **New**.

31 Preview letter

- In the **Select Letters and Distribution Lists** window, select **Show All**.
- Scroll down and select **L0U5 NH-STANDARD EPOC SOD**.
- In the **Distributions** section, scroll down and double click **Facility** to specify **Letter** as the Action.

This designates the facility contact as the recipient of the letter.

- Click **Preview**.
- Review your letter in the **Word Processor Dialog**, then select **Save & Exit**.
- Click **Close** to close the Notices History window.

32 Post survey on ASPEN Web: ePOC

We want to be able to easily track the POC process for this survey so …

- On the **Investigation** tab, locate your survey and click the **POC Track** button to open **POC Properties**.
- In the Responsible Parties section, click **Add S.A.**, add yourself, then click **OK**.

33 Post survey on ASPEN Web: ePOC

- In the **Survey Letters for ePOC Display** section, select the checkbox for the SOD letter you generated so that it will appear on the *e*POC website.

Note: In addition to survey letters, enforcement and intake letters can be selected if they are associated with the survey.

- Click **ePOC Attachments** to optionally attach documents you would like to share with the facility as support for the SOD
- Select **New**
- In the Attachment Documents window, enter a Description of the document: **Medical Records Outline**.
- Select the **Ellipsis** to open the Attach/View window.
- In Windows Explorer, navigate to the **C:\Aspen Tech Training**.
- Locate and highlight the file named **2015 Medical Records Outline.doc**, then click **Open**.
- You can click **View** in this window at any time to view an attachment, but we do not need to today.
- Click **Close**.

Note: ePOC Attachments, whether added by the SA or by a provider, are automatically removed when the final POC is approved for the survey.

- Select **Post on ePOC Website** to post the survey and SOD letter, then click **Yes**.

The Posted date for each tag is entered on the POC Properties window as well as the Post date and SOD Sent Date for the survey.

Note: Surveys cannot be posted to ASPEN Web: ePOC if there are no enrolled facility users.

- Click **OK** on the post complete confirmation message.
- Click **Close** to exit ePOC Properties.

ePOC sets the 2567/B Entry Completed flag to true.

Note: ePOC Properties must be closed to remove semaphore locks on the survey before the facility can access it on ASPEN Web: ePOC.

- Click **OK** to close the intake, then **OK** again to save and exit.
- Click **Yes** to override any edit checks.

<A> Training Nursing Home receives notification (via an ePOC Survey Posted email) that the Statement of Deficiencies has been posted and responds. The administrator then submits a Plan of Correction (POC) for each deficiency on the survey.

Facility ePOC

34 Open ASPEN Web: ePOC

- On your desktop, double click on the **ePOC Web App** shortcut.

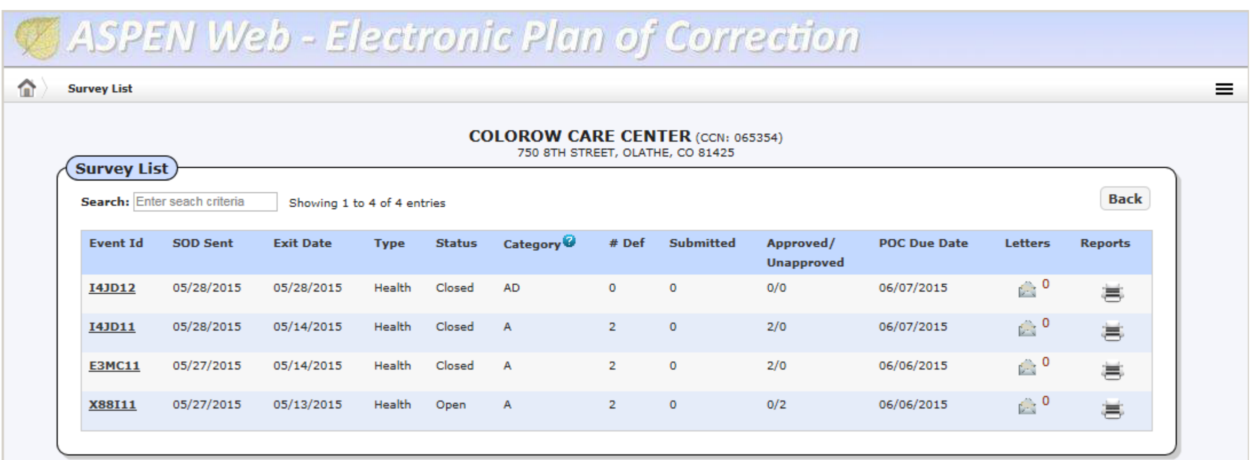
35 Log in as facility

- Log into **ASPEN Web: ePOC** with your training facility User ID and Password.

If the facility user is enrolled for multiple facilities, the Facility List opens.

- Click on the facility **CCN**.

Your survey appears on the Survey List. If the user is enrolled in ePOC for only one facility, the Survey List page appears as soon as they successfully log in.



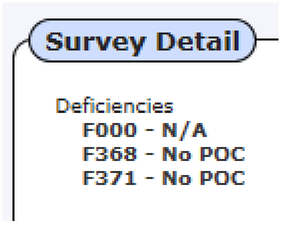
Event Id	SOD Sent	Exit Date	Type	Status	Category	# Def	Submitted	Approved/ Unapproved	POC Due Date	Letters	Reports
I4JD12	05/28/2015	05/28/2015	Health	Closed	AD	0	0	0/0	06/07/2015	0	
I4JD11	05/28/2015	05/14/2015	Health	Closed	A	2	0	2/0	06/07/2015	0	
E3MC11	05/27/2015	05/14/2015	Health	Closed	A	2	0	2/0	06/06/2015	0	
X88I11	05/27/2015	05/13/2015	Health	Open	A	2	0	0/2	06/06/2015	0	

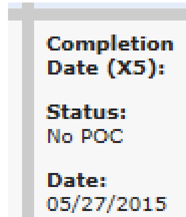
36 View SOD letter

- Click the envelope icon in the **Letters** column for your survey.
- Click the **Letter Date**, then click **Open** to view the SOD letter as an .RTF file.
- Exit the letter, then click **X** to close the **Letters** window.
- Note the information in the other columns for your survey, then click the **Event Id** to open the **Survey Detail** page.

38 View survey details

The Deficiencies list on the left side of the Survey Detail page indicates the POC status of the deficiencies in the grid. The Completion Date (X5) column in the grid also displays the tag's status.





The second column in the grid displays Regulation and Observations text for each cited tag. If there is not enough room on the grid to display all of the text, you will see **[MORE]** after the text.

- Select **[MORE]** to display the complete **Regulation** or **Observations** text for one of the tags.
- Click the **X** to leave the Regulation or Observations window.
- Click the **Attachments** (paper clip) icon at top of page .
- Click **2015 Medical Records Outline**, then click **Open** to view the document you attached as the S.A.

Attachments can be added from the SA/RO, or from the provider in ePOC. The Source column lets you know where the attachment is from.

- Click **X** to close the document, and **X** again to close the Attachments window.

39 Compose Plan of Correction

- Select the **F368** tag in the grid by clicking on the tag or selecting the **Click to Acknowledge** link in the Plan of Correction column.

The Plan of Correction page opens with tag information, regulation text, and Observation text in the left pane.

Since this tag has an S/S level of A, no plan of correction text is required.

- Click **Acknowledge**.

Notice the tag's Status has changed to **Approved** and the Completion Date is set to **today's date**.

40 Submit multiple tags

- Click on tag **F371**, or select the **Click to Enter Plan of Correction** link in the Plan of Correction column.
- Enter some **POC Description** text as the facility response for the current tag.
- Click in the **Completion Date (X5)** field and select **05/18/2015** from the calendar.
- Click **Save as Pending** to save this POC, then click **Back**.

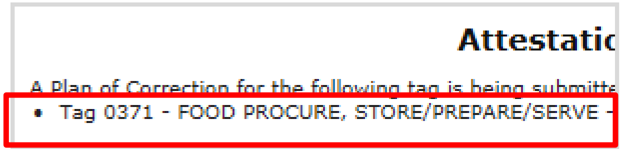
Tag 0371 is in *Pending* status.

- Select **Submit All Pending** (above the grid).

42 eSign and Attest POC for all tags in Pending status

The facility must electronically sign the Attestation of POC Submittal Terms and Conditions for each tag submitted for SA/RO review.

The tags the facility (you) are submitting are listed at the top of the Attestation.



- Select the Electronic Signature checkbox, then click **Continue**.

You return to the Survey Detail page. Note the Status of tag 0371 has changed to **Submitted**.

At the top left of the page, a “POC for tag 0371 was successfully submitted.” message appears.

A Facility POC Submitted for All Tags email is generated since the facility submitted the last POC for all tags.

43 View CMS- 2567

- Select the printer icon (upper right), then **2567**, then click **Open**.

The CMS-2567 form displays the watermark, POC NOT FINAL, which remains on the form until all POCs are approved for the survey. A facility may print the CMS-2567 form at any time.

- Close the CMS-2567.
- Select the printer icon again, then click **“A” Form**, then click **Open**.

The “A” Form also displays the POC NOT FINAL watermark, and lists the citation that does not need a POC approval.

- Close the A form.
- Click the **Menu** icon (three bars) on the right side of the toolbar at the top of the page and select **Log Out**.

You return to the Login page for ASPEN Web: *e*POC.

> The SA/RO receives the POC from the facility and approves/rejects the POCs.

44 Open POC Manager

- Go back to **ACTS** and select **POC** from the toolbar.
- In **POC Manager**, select the survey with the POC you created, then click **POC Approve/Reject**.

Note: You can click anywhere in the applicable row to select the survey.

45 Approve tag's POC

- In the Deficiencies grid, select the **0368** tag.

This tag did not require a plan of correction since it has an S/S of A. However, the provider Acknowledged the tag so the POC Status is automatically Approved.

46 Reject tag's POC

- Select tag, **0371**.
- Review the **Plan of Correction** text, then select **Reject**.
- Select the **Other** rejection **r**eason.

An Explanation is required if Other is selected.

- Enter text in the **Explanation** field for the Other rejection reason.

You can optionally add Comments for each rejection reason as well as overall comments for the rejection of the tag.

- Select **Final Rejection**.
- Select **Yes** on the confirmation message.
- Click **Close** to close POC Approval and Rejection, then **Close** again to close POC Manager.

The facility resubmits a POC for the rejected tag.

47 Locate survey

- Log into **ASPEN Web: ePOC**.
- On the Facility List, select your facility **CCN**.
- On the Survey List, select the survey **Event Id**.
- On the Survey Detail page, note the F371 tag status is **Rejected**.
- Select the rejected tag, **F371**.

48 Update POC

- Enter new text in the **POC Description** field and a new date, **05/20/2015**, in **Completion Date (X5)**.

Note: The rejection reason displays at the bottom of the page.

49 Resubmit POC for all tags

- Click **Submit as Final**.

51 Sign Attestation

- Click the **Electronic Signature** checkbox to agree to the Attestation.
- Click **Continue**.

On the Survey Detail page, the updated Status for the tag is Submitted. A Facility POC Resubmitted for Tag email is generated for the rejected tag.

- Log out of ASPEN Web: *e*POC.

Revisit

> The SA/RO accepts the POC and schedules the revisit

52 Accept POC

- In **ACTS**, right-click the intake and select **Modify Intake.**
- Go to the **Investigation** tab.
- Select the survey and click **POC Track**.
- Select **POC Approve/Reject**.
- Select the row for tag F0371 and click **Approve**.
- Click **Final Approval**, and **Yes** to confirm.

Note: When the final plan of correction is approved, any associated attachments are permanently removed from ASPEN. If you want to save an attachment document, you must copy it to another location.

- Click **Yes** to delete the attachments.
- **Close** the POC Approve/Reject window and **Close** POC Properties.

53 Schedule Revisit

- On the Investigation tab, in the Investigation and Survey grid, highlight your survey and select **Create Revisit.**
- Select **Yes** to confirm.
- Accept **current date** as the Start and Exit dates. The same team will conduct the revisit.
- Click **OK**, then **OK** again on the confirmation notification.

You conduct the revisit and find all deficiencies corrected.

The facility is notified of the ASPEN Web: ePOC posting and prints the CMS-2567B.

54 Complete and post revisit survey

- On the **Investigation** tab, highlight the revisit survey and click **Citation Manager**.
- Double-click on the Initial Comments tag and enter text – **All deficiencies are corrected.**
- Click **OK**.
- Double-click tag **0371** to enter some Findings text, then click **OK**.
- Right-click citation **0371** and select **Correction Dates**, **Selected Citation**.
- Enter **current date** and click **OK**.
- Click **Done** to close Citation Manager.
- Click the **POC Track** button for the **revisit** survey.
- Click **Post on ePOC Website**.
- Click **Yes** to Confirm and **OK** to Post Complete.
- **Close** POC Properties.
- Click **Update 670** to enter **670 hours** and **Office Hours** for the revisit survey. After all hours are entered, click **Close**.
- For **Investigation Completed** (below the Investigation and Survey grid), enter **current date**.
- Click **OK**, then click **OK** again to save.

55 Facility prints CMS-2567

- Log into the ePOC Web App.
- Click the **CCN** of your facility, and the **Event Id** for the revisit survey.
- Click **Acknowledge SOD**.

56 Print CMS-2567B

- Click the **Print** icon, then select **2567B**.
- Click **Open** to view the CMS-2567B report. Notice there is no watermark on the CMS_2567B report.
- Close the report without printing.
- Log out of the ePOC Web App.

Finalize Intake

57 Finalize intake

You have performed the steps for completing an intake. You are now ready to finalize the intake.

- In ACTS, right-click the intake and select **Modify Intake**.
- On the **Actions/Close** tab, select the **Finalized** checkbox.
- Click **Yes** on the Activity/Action Item Closure message.
- Select **01-Paperwork Complete** as the Reason Closed and enter **current date** as the Date Closed.

Finalization triggers an auto upload of the intake and investigation.

- Click **OK** to close the intake, and **OK** to Save and exit.