Refer a Complaint/Incident

The SA/RO can refer a complaint/incident to an outside agency when an investigation is not needed, or during an investigation. When a complaint/incident is referred during an investigation, the SA may request a report of the investigation results.

Whether or not there is an investigation, and regardless of who conducts the investigation, the SA remains responsible for assessing compliance with Federal conditions and requirements.

ACTS contains referral-related priority values. For a non-CLIA complaint/incident, priority can be Referral – Immediately, or Referral - Other. For a CLIA complaint, priority can be Non-CLIA Referral.

- Referral - Immediately is assigned if the seriousness of the complaint/incident requires immediate referral to another agency, board, or ESRD network for investigation.
- Referral - Other, or for CLIA, Non-CLIA Referral is assigned when referring to another agency, board, or ESRD network for investigation or informational purposes.

At times, a complaint/incident may be dually investigated not only by the SA or RO, but also by an outside agency to which it is referred. In this case, the priority may be set to both the appropriate referral value and the pertinent IJ or Non-IJ value.

Refer a Complaint/Incident to Another Agency

The SA or RO can refer a complaint or incident at the outset when an investigation or further action on the part of the SA or RO is not warranted, or at any time during an investigation. In either case, the SA must ensure compliance with Federal conditions and requirements.

To refer a complaint or incident:

1 Locate your Hospital

- ➢ Open **ACTS**.
- ➢ Expand My Selections, then right-click **HOSP OPEN** and select **Activate**.
- ➢ Click **Find** above the Tree view to open the Find window.
- ➢ In the Search field, enter all or part of the facility/provider name you used in the Hotline scenario.
- ➢ Select **Search By Name**.
- ➢ Click **Find Now.**
- ➢ In Search Results, double-click on your facility name.

This takes you to the facility in Tree view.

2 Change Priority

- ➢ Expand the facility, right-click the intake we created in the Hotline scenario, and select **Modify Intake.**
- ➢ On the Intake tab, for Priority, select **Referral Other.**

Priority can be changed on the Intake, Allegations, or Deemed/RO Approval tab (if applicable) of the intake.

Only authorized users can set Priority.

- If the intake is linked to an investigation, upload the data.
- Click **OK**, then **OK** again to save and exit.

Add a Referral Record

When you refer a complaint/incident, you create a record of the referral on the Contact/Refer tab of the intake. The SA, RO, and CO can all add referral records as needed.

To add a referral record:

1 Add Referral

- Expand <A> Hotline, right-click the intake, and click **Modify Intake**.
- Go to the **Contact/Refer** tab.
- Under the Referral Details section, click **Add**.

2 Select Referral Agency

- In the Select Agency for Referral window, click **The Joint Commission**, and then click **Select**.

The selected agency is added to the Referral Details grid.

ACTS adds the agency to the Distribution List for the referred complaint/incident so you can generate and track correspondence with the agency regarding the complaint/incident.

TIP: To add new agencies to the list in the Select Agency for Referral window, go to System | Lookup Tables | Agency Maintenance.

3 Referral Details

- To enter dates related to the referral, click in the date fields and select the date.

The background color of the date fields is white if an SA user adds the referral record, blue if RO, orange if CO.

- Click **OK**, then **OK** on the confirmation window to save/close the complaint/incident.

4 Manage referral (Optional)

There are several tools available in ACTS, which allow you to generate and track correspondence related to the referred complaint/incident.

- Expand your facility, right click the intake, and click **Modify Intake**.

Send a letter to the referral agency.

- Click the **Notices** button at the bottom of the Intake window.
- In the Letter History section, click **New**.
- In the Form Letter list, select **Referral – Outside Agency**
- In the Distributions list, double-click **Agency Referral** to designate them as the letter recipient.
- Click **Preview** to view the letter.
- Select **Save & Exit**.

- Close Notices History.

Keep a record of any notifications about the referral.

- Click the **Notes** button at the bottom of the Intake window.

Any notes from the original Hotline call are included, and the Word processor pane allows you to keep an ongoing record of any correspondence.

- Click **OK** to close the Notes window.
- Click **OK** to close the Intake, then **OK** again to save an exit.

Tip: When appropriate, create and assign an Action Item to request a report from the referral agency on the progress/results of the investigation.

Print the Agency Referral Summary Report, which provides information for each agency on referral.

- In ACTS, click **Reports**, then select **Agency Referral Summary Report**
- In the Report Customization window, either select a preselected timeframe from the Date field, or enter Start and End dates for the report.
- You can also filter the report with multiple filter sections to generate a more specific report. The Provider Type filter enables providers based on the active ACTS Selection Set, however the other filter sections have all options enabled by default.

Note: In the Provider filter section, click Select Provider for Report Filter to specify a facility. When you activate this filter, the Provider Type filter is unavailable.

- Click **OK** to generate the report, and review it.
- Close the report, then close ACTS.