

Deemed Hospital Full Survey After Complaint

The State Agency (SA) receives a telephone call regarding a deemed hospital that is serving cold chicken.

1 Open ACTS

- Double-click the **ACTS** icon on your desktop.

2 Activate Selection Set

- In the ACTS tree, expand **My Selections**.
- Right-click the **HOSP OPEN** selection set, then select **Activate**.

3 Open a new intake

- In the ACTS tree, expand the branch corresponding to your training letter.
- Locate **<A> Training Deemed Hospital** (where A is your assigned training letter).
- Right-click the facility name and select **New Intake**.

Normally, you would click **Insert Questions into Notes** at the bottom of the form and gather details from the complainant. We will skip this step today.

4 After the call, you finish filling out the intake.

5 Enter complaint details

- At the top of the Intake tab, enter the following:
 - Intake Type: **01 Complaint**
 - Intake Subtype: **A Federal COPs,...**
 - Received by: **3 Telephone**

Notice ASPEN automatically lists you as a Responsible Party.

- Click **Add R.O.** and select your RO user name, then click **OK**.
- On the Complainants tab, click **Add Anonymous**.

6 Enter Priority and Source

Source and Priority are required entries:

- From the list of Source options, select **06 Family**.
- Scroll down to the Priority box, and select **C – Non-IJ Medium**.

7 Enter complaint received dates

- In the Received section, make sure it shows the current date for both **Received Start** and **End** dates.
- In the Investigate Within box, enter **10** days (we need to compress the time frame a bit); then click **Calculate** to determine the Investigation Due By date. Use **Working days**.

8 Enter Allegation Details

- Go to the **Allegations** tab.
- Click **Add**, and in the Allegation Input window, enter the following values:
 - Category: **14 Dietary Services**
 - Subcategory: **02 Food Is Cold**

Note: The options available in the Subcategory list are customizable for each state. The options in your state may be different than those available here. If there is a subcategory you think your state requires that is not available, your complaint unit can work with an ASPEN technical coordinator to have it added.

- Click **OK** to save the allegation.

9 Request RO approval

- Go to the **Deemed** tab.
- Select the **Deemed for Medicare Participation** checkbox if it is not pre-selected.

Note: This is automatically selected if the complaint is being entered against a Deemed provider (as set in ACO).

- In the Conditions of Participation section, select **482.28 FOOD AND DIETETIC SERVICES**.
- Select the **Request for RO Approval** checkbox.

ASPEN inserts the current date, and updates the status to 2-Pending RO Approval.

10 Save and Close the Intake

- Click **OK** at the bottom of the intake, and **OK** on the confirmation prompt.
- Close ACTS.

(Back home, ASPEN Action Items are automatically sent within 10 minutes of generation!)

You get to play the RO role, and approve the complaint survey investigation for the conditions listed in the Conditions of Participation (COP) list on the Deemed tab.

11 Open ACTS-RO

- Double-click the **ACTS RO** icon on your desktop.

ACTS RO should be connected to Colorado. You can verify this with the State field in the upper left corner.

12 Activate Selection Set

- In the ACTS RO tree, expand **My Selections**.
- Right-click the **HOSP OPEN** selection set, then select **Activate**.

RO staff can also use My Action Items to monitor requests regarding deemed intakes.

13 Locate the intake

- Go to the **Status** tab.
- Expand the **2 – Pending RO Approval** node, and then expand **Non-IJ Medium**.
- Right-click your intake and select **Modify Intake**.

14 Approve the state survey

After reviewing the allegations:

- Go to the **Deemed** tab.
- In the **Signature** section, enter:
 - RO Response: **01 Approved**
 - Regional Representative: **Your RO User Name**ASPEN inserts the Region and Date.
- Type some text in the **Comments** field.

The RO confirms the Food and Dietetic Services COP is correct, and since germs are a concern with cold chicken, also selects Infection Control.

15 Confirm COP(s)

- In the Conditions of Participation section, verify **482.28 FOOD AND DIETETIC SERVICES** is selected.
- Select the checkbox for **482.42 INFECTION CONTROL**.
- In the **Currently Deemed By** section, select **JC**, (Which is the current Accrediting Organization for the provider in our scenario).

16 Save and exit ACTS RO

With RO approval, ASPEN automatically changed the status of the intake, and moved the intake to the Non-IJ Medium node under the 3 - Pending Assignment node.

- Click **OK** and then click **OK** again at the prompt to save and exit the intake. ACTS re-draws the tree.
- Close ACTS RO.

When the RO enters their response in ACTS RO, an Action Item is generated for the S.A. Responsible Party.

17 Check your action items

- Open **ACTS**.

You should have an action item message from the RO approving the investigation – Response from RO.

- Double-click the message to open your intake.

The RO response, and any comments the RO included are on the Deemed tab in the Signature section.

18 Create the survey

- Go to the **Investigation** tab.
- In the Investigation and Survey section, click **New**.

- Enter the following:
 - Start: **Current date**
 - Exit: **Current date**
 - Regulations: **Federal Acute Care Hospital**
- Type of Survey: **A-Complaint Investig.**, and Extent: **D-Other Survey** are pre-selected.

19 Link the intake

- Click **OK** to save and exit the survey, then select **Yes** on the prompt to link the intake to the new survey.

During your investigation, you find that prepared chicken is not kept at 140°, and may not be served for up to an hour after the meal is plated.

You also see several other areas of concern: Kitchen staff is not washing their hands after handling raw meat; equipment is poorly maintained and dirty; and several spills in patient areas, one with broken glass, were not cleaned up for hours.

20 Conduct the investigation

- On the Investigation tab, highlight your survey and click **Citation Manager**.
- Select your user name, then click **OK** to add yourself to the survey team.

To assign tag 0618:

- Type **0618** in the Find field.
- Double-click or drag the tag to the **Citations** pane.
- Click **OK** in the Citation Properties window.
- Click the **IG** button, highlight some of the text and drag it into the Citation pane.
- Click **OK** and click **Done** to exit Citation Manager.

21 Update the Findings

- Go to the **Allegations** tab (click **Yes to All** to override any edits).
- Click **Link Deficiencies**.
- Click the checkbox in the Selected column and click **Yes** to confirm.
- Click **OK**.
- In the Allegations section, select the allegation and click **Modify**.

- In the Findings section of the Allegation Input window, select **1 Substantiated**.
- Select **A Federal deficiencies related to the alleg are cited**.
- Click **OK** to save your findings..

22 Complete the investigation

Select the **Investigation** tab.

For the Completed Date, enter **current date**.

- Click **OK** at the bottom of the intake, then **OK** on the message to save and exit the intake.
- Close ACTS.

After discussing your findings, you and the rest of the hospital team decide a full survey after complaint is warranted. You need to schedule a full survey.

23 Open ACO

- Double-click the **ACO** icon on your desktop.
- Verify the **HOSP OPEN** selection set is activated.
- Locate your facility, right-click it, and select **Create Certification**.
- Click **Yes** to continue.

24 Create the certification kit

- Go to the **Transmittal (CMS-1539)** tab.
- Check the Accreditation Status (L10).

When selecting the Type of Action, the Accreditation status cannot be 0 Unaccredited.

- For Type of Action (L8), select **8 Full Survey After Complaint**.
- Go to the **Certification & Surveys** tab.
- On the prompt, click **Yes to All** to override the edits.

25 Add a Health survey

- In the Survey List section, click **New**.
- Select **Health Survey** and click **OK**.

- In Create Health Survey window, enter the following:

- Start: **Current date + 1**
- Exit: **Current date + 1**
- Regulations: **Federal Acute Care Hospital**

Type of Survey: **I-Recertification**, and Extent: **A-Routine/Std Survey** are pre-selected.

26 Add the survey team

- In the Team Roster section, click **Update**.
- Locate your user name, and select the checkbox to add the SA version of yourself to the Team Roster.
- Click **OK** to exit the Team Roster, then **OK** again to exit the survey.
- Click **No** on the message about Citation Manager.

27 Exit the Certification Kit

- Click **Done** to exit the Certification Kit.
- If needed, click **Yes** on the Recent Certification warning message.
- Close ACO.

Add a cross-reference between your intake and the full survey resulting from the investigation.

28 Open ACTS

- Double-click the **ACTS** icon on your desktop.
- Open your intake (you can right-click on the RESPONSIBLE FOR action item and select **Modify Intake**).

29 Create a cross reference

- Go to the **Deemed** tab.
- In the Full Survey section, click **Find** to list surveys for the provider.
- Select the new Health survey you created (dated tomorrow) and click **OK**.

This creates a cross reference between your intake and the full survey after complaint.

30 Close the intake

- Click **OK** to save and exit the intake, and then **OK** on the prompt.