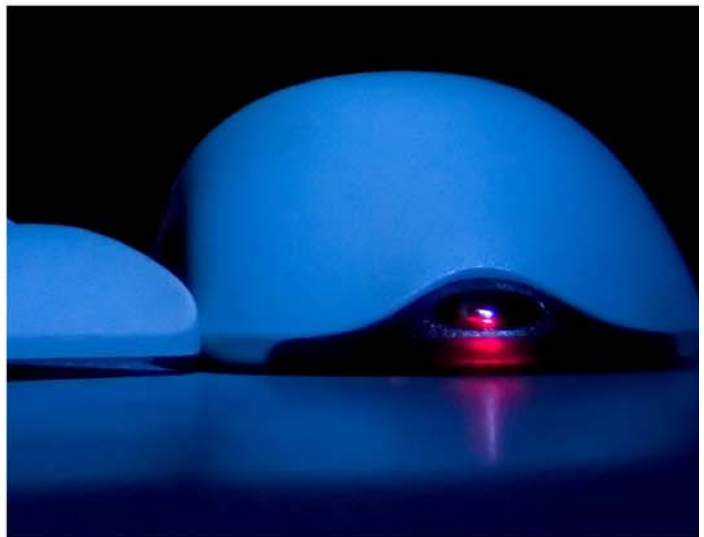
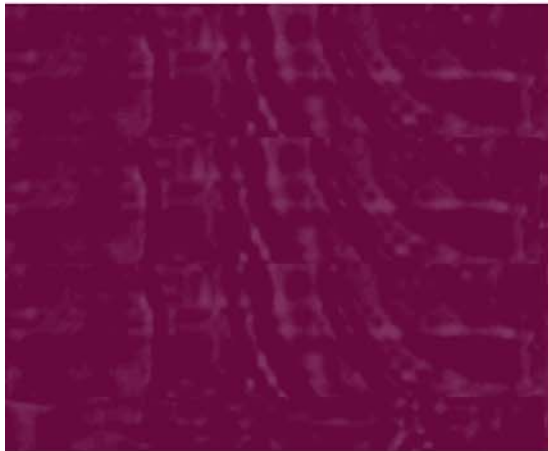




LTCSP

Complaints

Guide



Information in this user's guide is subject to change without notice.

All brand or product names are trade names, service marks, trademarks, or registered trademarks of their respective companies or organizations.

Systems Environment

Application Development: Microsoft Visual C++ and C# 2008 (9.0), .NET 3.51 SP1, .NET 4.6.1 or later (ASE-Q only)

Desktop Database (ASE-Q only): SQL Anywhere 11

CMS-supported operating systems and MS Internet Explorer versions are posted on the QTSO website at <https://qtso.cms.gov> under the Minimum System Requirements section.

Oracle Database 12c Enterprise Edition Release 12.1.0.2.0

Oracle Client 12.2.0.0

Optional System Environments

MAPI Compliant E-mail client to support e-mail transfer of survey information

Note: This document can be viewed online or printed in a duplex (two-sided) format. Blank pages have been automatically inserted as needed for correct pagination in the printed copy.

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LTCSP Complaints

The Long-Term Care Survey Process (LTCSP) application supports the survey process for long-term care facilities including investigating complaints or Facility Reported Incidents (FRIs) while conducting a recertification survey.

About this Document

This document provides instructions for transferring complaint and FRI information from the ASPEN Complaints/Incidents Tracking System (ACTS) into your survey so that your team has the information while on survey. It gives you the information you need to:

- Create an LTCSP recertification survey
- Use ACTS to identify and attach complaints/FRIs to your LTCSP survey
- Handle complaint/FRI information after a survey is already in progress
- Understand the basic steps for completing the complaint investigations

Note: Many of these steps may need to be conducted by someone not on the survey team who has access to ACTS. Refer to your state policy for handling complaints and FRIs.

LTCSP CBTs

Interactive Computer-based Training (CBT) modules covering a number of LTCSP application features and procedures are available on the Quality, Safety, and Education Portal (QSEP). Follow your State Agency's practice for accessing the site.

LTCSP Complaint Surveys

To conduct an LTCSP survey that includes complaints or FRIs, the State Agency (SA) must create a recertification survey in ASPEN Central Office (ACO) and then link a complaint or FRI intake to the survey through ACTS. Complaint or FRI intakes must be created in ACTS before they can be attached to LTCSP recertification surveys. The result is a combined recertification/complaint survey, which can be imported into ASPEN Survey Explorer-Quality (ASE-Q).

Note: You can always conduct a stand-alone complaint survey outside of LTCSP according to your state practices.

Create an LTCSP Recertification Survey Shell

A recertification survey shell can be set up in ACO at any time, even before the survey visit. It is associated with the applicable recertification kit for the facility.

To create a recertification survey shell:

- 1 In **ACO**, open or create a recertification kit for the facility.
- 2 In the **Survey List** section of the **Certification & Surveys** tab, click **New** to open the **Create Survey** window.
- 3 Enter basic survey information.

For Type of Survey, I-Recertification is already set by the system and A-Complaint Investig. will be set when a complaint/FRI intake is linked to the survey in ACTS.

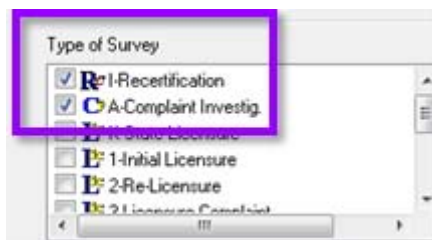


Figure 1: Recertification and Complaint Investig. selected for Type of Survey

4 Assign team members and designate the team leader.

The screenshot shows the 'Survey Properties for 000 Uat Nursing Home 001 - 4' dialog box. At the top, there are fields for 'Start' (03/23/2019), 'Exit' (03/27/2019), and 'Status' (1 OPEN). There are also buttons for 'IDR/IDR', 'Category' (Health, LSC), and 'Shell Only' (checked). The 'Regulation(s)' section has a list of regulations with checkboxes: FED-E-1.01-Emergency Preparedness, FED-F-16.01-LONG TERM CARE FA, ST-1-1.08-T.B.I. Waiver Manual 6/2E, ST-1-1.0-R H C F - 415, ST-L-2.0-Adult Day Health Care Progi, and ST-N-1.0-R H C F - N D U - 415.41. The 'Type of Survey' section has a list of survey types with checkboxes: I-Recertification, A-Complaint Investig., K-State Licensure, 1-Initial Licensure, and 2-Re-Licensure. The 'Extent(s)' section has a list of survey extents with checkboxes: A-Routine/Std Survey, B-Extended Survey LTC/HH, C-Partial Ext. Survey, D-Other Survey, and E-Abbreviated Survey. The 'Team Roster' section has a table with columns 'ID' and 'Name'. The table contains three rows: 39236 Aatest, Becchange, 39239 A Test, A Test, and C8211 Aa Test, Aa Test. There are buttons for 'Leader' and 'Update...'. The 'SOD Tracking' section has fields for 'SOD Sent' (//), 'POC Rcvd' (//), 'Revisit Status' (1 - Required), and 'Adm Signoff (X6)' (//). There is also a checkbox for '2567/B Entry Complete'. At the bottom right, there are buttons for 'OK', 'Cancel', and 'Help'.

Figure 2: Combined survey shell

More ...

For detailed information on creating certification kits and surveys including combined surveys, refer to the ACO Procedures Guide, which is posted on the QTSO website at <https://qtso.cms.gov>.

Review Intakes in ACTS

To include complaint/FRI intake information in your LTCSP survey, you need to use ACTS. If you do not have access to ACTS, you will have to work with staff members in your state who do.

To identify the complaint/FRI you want to investigate in conjunction with the LTCSP recertification survey, you will review intakes for the applicable facility to find those not already attached to investigations plus associated allegations. You can open individual intakes to further review complaint/FRI information.

To review complaint/FRI intakes in ACTS:

- 1 Open **ACTS**.
- 2 On the **Facility** tab, expand the appropriate letter node and locate your facility.

- Click the plus to expand the facility and see a list of all intakes associated with the facility.

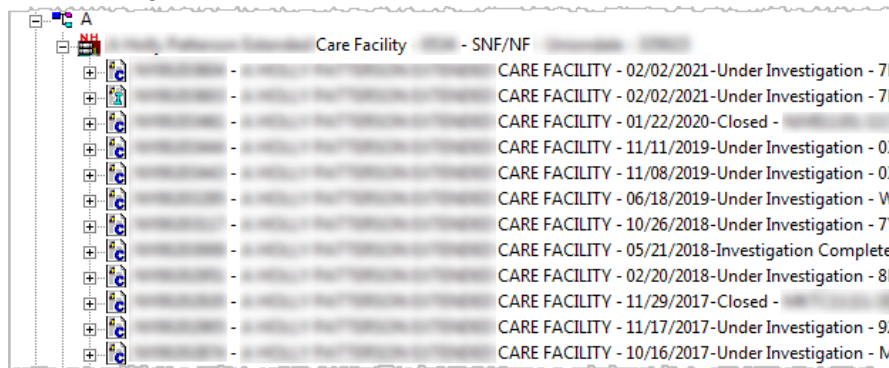


Figure 3: Facility expanded in tree to display complaint/FRI intakes

- Expand an intake to see associated allegations.

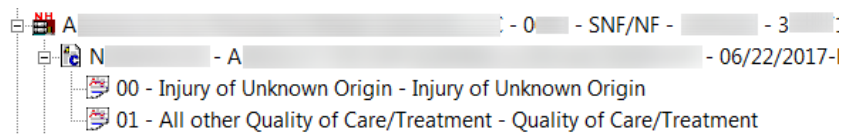


Figure 4: Intake expanded in tree to display allegations

To review an intake:

- Right-click a complaint/FRI and select **Modify Intake**.

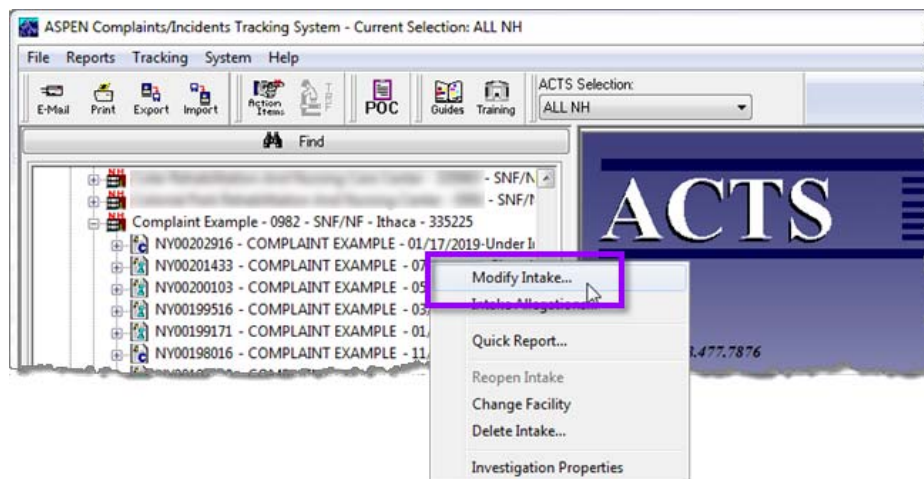


Figure 5: Modify Intake option selected

2 Review the intake, particularly the first two tabs.

- The **Intake** tab provides basic information about the intake.

The screenshot displays the 'Intake' tab of the LTCSP Complaint Surveys application. The interface includes several sections for data entry:

- Intake Staff:** Radio buttons for 'State Agency', 'Regional Office', and 'Central Office'. A 'Staff' dropdown menu is set to 'D'. A 'Status' dropdown is set to '3 - Pending Review/Assignment'. A 'Change Staff' button is present.
- Assignment:** Fields for 'Intake Type' (01 Complaint), 'Intake Subtype' (A Federal COPs, CFCs, RFPs, EMTALA, CLIA), 'Received by' (6 Hotline), and 'Location Received' (N). It also includes fields for 'State Complaint ID', 'CIS number', and 'External Control #'. A 'hx' button is next to the Subtype field.
- Responsible Parties:** A table with columns for 'R.O.' (blue), 'C.O.' (red), and 'SA'. It includes buttons for '+ Add S.A.', '+ Add R.O.', '+ Add C.O.', and '- Delete'. A 'Management Unit' dropdown is set to 'C' and a 'Responsible Team' dropdown is set to 'N'.
- Complainants:** Tabs for 'Residents/Patients/Clients' and 'Alleged Perpetrators'. A search bar for 'Last Name' and 'First Name' with a '+ Find/Add' button. A table with columns: Last Name, First Name, Anonymous, Primary, Relationship, Cell Phone, Work Phone, Home Phone. A '+ Add Anonymous' button and a '- Delete' button are also present.
- Alleged Event Information:** Fields for 'Date' (//), 'Time' (:), and 'Shift'.
- Source:** A grid of checkboxes for various sources: 01 - Resident/Patient/Client, 02 - Entity Self-Reported, 03 - Current Staff, 04 - Former Staff, 05 - Anonymous, 06 - Family, 07 - Friend (checked), 08 - Ombudsman, 09 - State Survey Agency, 10 - Other State Agency, 11 - CMS, 12 - Medicare Intermediary/Carrier, 13 - Other Health Provider, 14 - Quality Improvement Organization, 15 - Physician, 16 - CMS, 17 - CMS, 18 - M, 19 - O, 20 - A.
- Response Information:** A 'Priority' dropdown set to 'C'. A list of checkboxes for response types: A - IJ, B - Non-IJ High, C - Non-IJ Medium (checked), D - Non-IJ Low, E - Non-IJ Admin Review/ Offsite Investigation, F - Referral-Immediately, G - Referral-Other, and H - No Action Necessary. A 'hx' button is present.
- Received:** Fields for 'Start Date' (06/22/2017), 'Time' (00:47), 'End Date' (06/22/2017), and 'Time' (08:47). Radio buttons for 'a.m.' and 'p.m.' are present. A 'Has Related Intakes' checkbox is at the bottom.

Figure 6: Intake tab

- The **Allegations** tab provides details about allegations to be investigated.

Intake Allegations Contact/Refer Activities Investigation Actions/Close Upload Intake

Allegations

	Details	Category	Subcategory	Findings	Seriousness	Deficiency
1	Details	04 - Injury of Unknown Origin	A1 - Injury of Unknown Origin	Find Txt		
2	Details	11 - Quality of Care/Treatment	A9 - All other Quality of Care/Tr	Find Txt		

+ Add Modify Delete Link Deficiencies

Deficiencies (automatically set based on survey/investigation information)

☐ Federal Deficiencies ☐ Unrelated Federal Deficiencies ☐ State Deficiencies ☐ Unrelated State Deficiencies

Death Associated with the Use of Restraints/Seclusion

	Patient	Death type	Reported	Date of Death	Setting	AO Notify
1					Modify	Delete

Response Information

Priority

☐ A - IJ ☐ D - Non-IJ Low ☐ G - Referral-Other
☐ B - Non-IJ High ☐ E - Non-IJ Admin Review/ Offsite Investigation ☐ H - No Action Necessary
☒ C - Non-IJ Medium ☐ F - Referral-Immediately

Investigate within 45 days Calculate Received End Date 06/22/2017 Time 08:47 a.m.

Investigation Due By 08/06/2017

Figure 7: Allegations tab

Note: You can also expand an intake in Tree view to see associated allegations.

The following table lists the fields that need to be completed before you can link an intake to an LTCSP recertification survey.

Intake Tab:	Intake Type Responsible Parties (at least one, logged-on user entered by default; overridable) Complainants (at least one; overridable) Source (overridable) Priority (also on Allegations tab; overridable) Received Start and End Dates (defaults to date and time intake was first opened)
Investigation Tab:	Recertification (or combined) survey must have been created in ACO and be listed under Investigation and Survey

Attach Intake to LTCSP Survey Shell

Once you identify the appropriate complaint/FRI intake, you can link it to the LTCSP recertification survey shell.

To link a complaint/FRI intake to a recertification survey shell:

- 1 In **ACTS**, right-click the complaint/FRI intake and select **Modify Intake**.
- 2 Click the **Investigation** tab.
- 3 In the **Investigation and Survey** section, find your LTCSP recertification (or combined) survey.
- 4 in the **Selected** column, select the checkbox and click **Yes** when asked if you want to link this intake to your survey.

- 5 Click **OK** at the bottom of the window.

Intake NY00202917 - 335225 - COMPLAINT EXAMPLE (0982) - Investigation VKUM11 with 10 Intake(s)

Intake Allegations Contact/Refer Active **Investigation** Actions/Close Upload Intake

Investigation and Survey

Investigation Assigned to this Complaint/Incident Show All Surveys

	Selected	Event ID	Start Date	Exit Date	Survey Type	Adm SignOff	2567 Issued	POC Track	POC Approved	Ent Ct
1	<input checked="" type="checkbox"/>	VKUM11	01/18/2019	02/04/2019	CMPRVT.RECER			POC Track		N/A
2	<input type="checkbox"/>	RK9Z11	01/20/2011	06/21/2011	RECERT	07/23/2001		POC Track		N/A
3	<input type="checkbox"/>	RK9Z21	06/22/2011		RECERT			POC Track		N/A
4	<input type="checkbox"/>	31QZ21	05/09/2011		SC.RECER	06/06/2002		POC Track		N/A
	<input type="checkbox"/>	31QZ11	05/09/2011		RECERT	06/06/2002		POC Track		N/A
	<input type="checkbox"/>	FYWG21	04/21/2003	04/23/2003	LSC.RECER		05/13/2003	POC Track		N/A
	<input type="checkbox"/>	FYWG11	04/21/2003	04/23/2003	RECERT	05/27/2003	05/13/2003	POC Track		N/A
	<input type="checkbox"/>	TIN511	03/15/2004	03/17/2004	RECERT	04/06/2004	03/29/2004	POC Track		N/A
	<input type="checkbox"/>	TIN521	03/15/2004	03/17/2004	LSC.RECER			POC Track		N/A

+ New Survey Properties Citation Manager Survey Forms Update \$70 Create Revisit Export... Email

Click Here for Full Investigation Properties->Survey/Upload

Investigated by 1 State Survey Agency

Investigation Completed //

Tracking for Investigation: VKUM11 with 10 Intakes (NY00191275, NY00193338, NY00200103, NY00196621, NY00197429, NY00198016)

Forwarded to RO/MSA // In Compliance //

Forwarded to CO // RO Received Investigation Packet //

View Investigation Notes

Figure 8: Investigation tab with intake linked to LTCSP survey

When you export the survey from ACO, the complaint or FRI information is included and will be available when the survey is opened in LTCSP.

More ...

For detailed information on working with complaints, refer to the *ACTS Procedures Guide*, which is posted on the QTSO website at <https://qtso.cms.gov>.

Attach Intake to LTCSP Survey in Progress

Sometimes a complaint or FRI comes in to the SA while surveyors are already in the field and the survey is in progress at the facility. The new complaint/FRI intake is created in ACTS by someone in the office unless you have access to ACTS in the field.

The SA will link the new intake to the original survey shell in ACO. Then the shell with the new linked intake is exported and re-imported into ASE-Q.

To open the appropriate complaint/FRI:

- 1 Open **ACTS** and find the facility where the survey is being conducted.
- 2 Click the plus to expand the facility.

This lists all complaint/FRI intakes assigned to the facility.

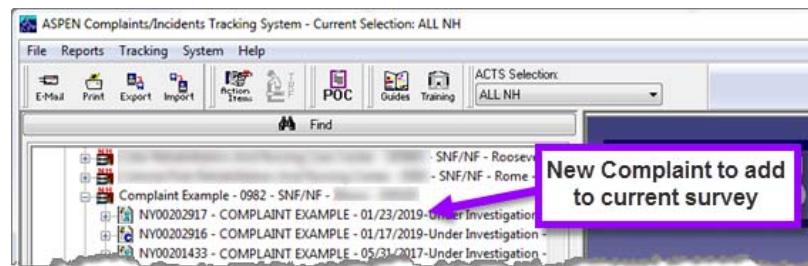


Figure 9: Facility expanded in ACTS to show new intake

- 3 In the list, identify the new complaint or FRI you wish to add to the survey currently in progress.
- 4 Right-click and select **Modify Intake** to open the Intake window.

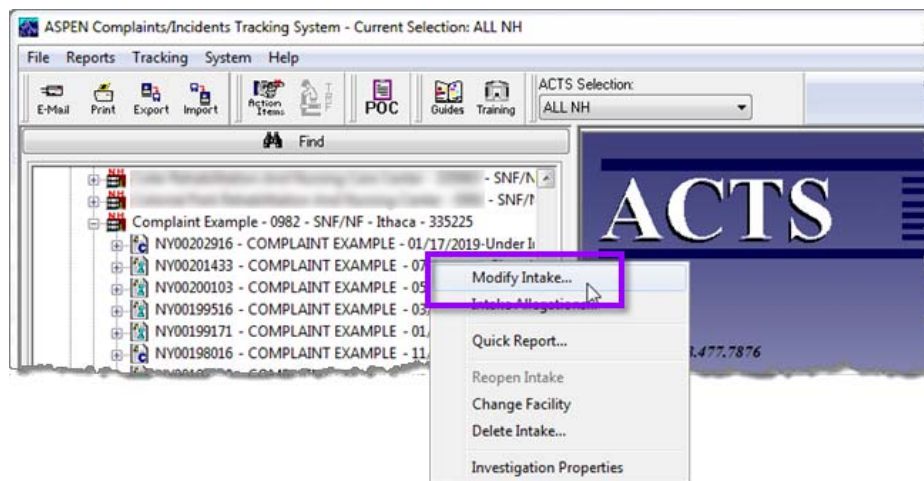


Figure 10: Modify Intake selected for an intake

To attach a new complaint or FRI to an in progress survey:

- 1 In the intake, click the **Investigation** tab and identify the current survey using the **Event ID** column in the **Investigation and Survey** section.
- 2 Select the checkbox in the **Selected** column and click **Yes** when asked if you want to link this intake to your survey.

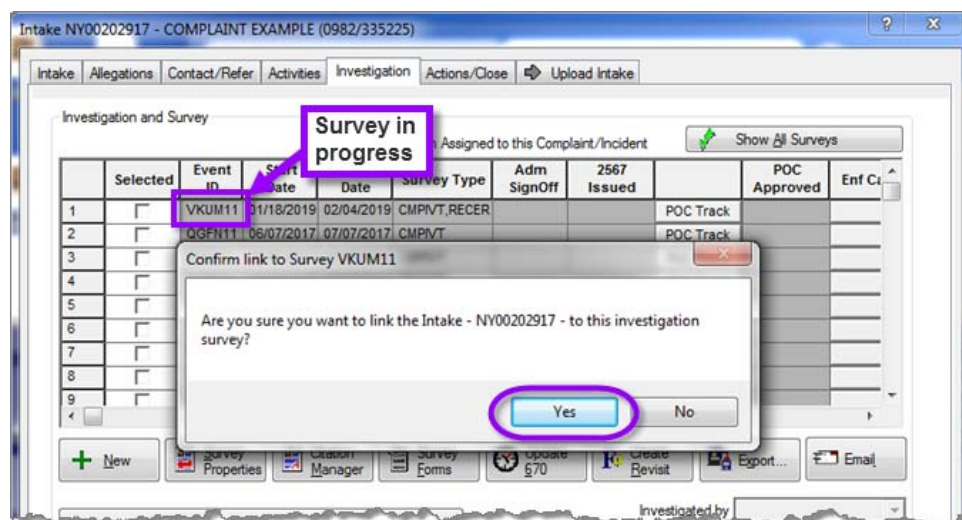


Figure 11: Investigation tab with popup to confirm link to LTCSP survey

- 3 Click **OK** at the bottom of the window.

Export Survey with New Linked Intake

When you export the survey shell with the newly linked intake from ACO to ASE-Q, the complaint/FRI information is included.

To export the survey shell with a new linked complaint/FRI:

- 1 In **ACO**, locate the survey and drag to the **Export** button on the ACO menu bar.
- 2 Follow your state policy for exporting surveys.

-OR-

Select **Other Location** and save shell to a directory.

TIP: Save the survey with a unique name so the TC can easily identify this as the survey in progress that has new complaint or FRI information. For example, NEW_FRI_VKUM11_ASPENTX.ZIP.

- 3 Click **Continue with Export** in the **Survey Export** window.

- 4 Click **No** when asked if you wish to recalculate the LTCSP Sample.

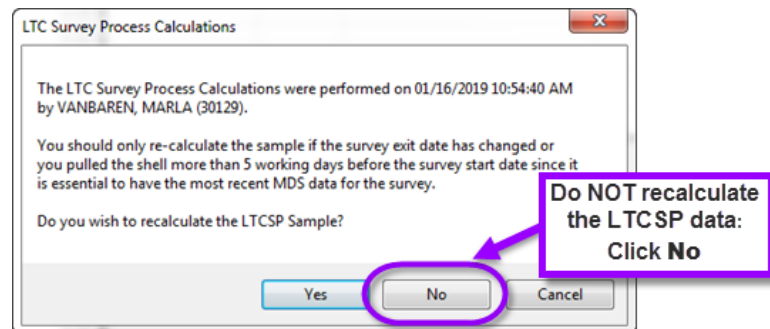


Figure 12: LTC Survey Process Calculations window

- 5 Click **OK** in the **LTC Survey Process Transfer** window, then click **Apply** in the **Finalize Transfer** window.

To send the updated survey to the team coordinator:

- ➡ Locate the newly exported survey shell and email the zip file to the TC or team contact person in the field.

Import New Complaint/FRI Data in the Field

When you have received the updated survey shell, you need to import the new data into the ongoing LTCSP survey.

WARNING! It is important to follow the directions to import only the new data or you run the risk of overwriting data you have already added to the survey.

To transfer new complaint/FRI data into an ongoing survey:

- 1 If you received the updated zip file by email, move it to a location on your tablet, for example, the desktop or a dedicated shell folder.
- 2 In **ASE-Q**, click the **Import** button in the menu bar.
- 3 Select **Other Zip File Location** and click the **Binoculars** icon.
- 4 Navigate to the file location. Change the file type to **All Files (*.*)** if you can't see your file. Click **Open**.
- 5 Click **OK** in the **Import** dialog.
- 6 In the **Survey Import** window, select the updated survey shell and click **Continue with Import**.

You will be asked if you want to import LTCSP data.

- 7 Click **No** in the **LTC Survey Process Transfer** dialog.

IMPORTANT: You only want the new complaint or FRI information. If you click Yes, you may lose all the data you have already entered in the survey.

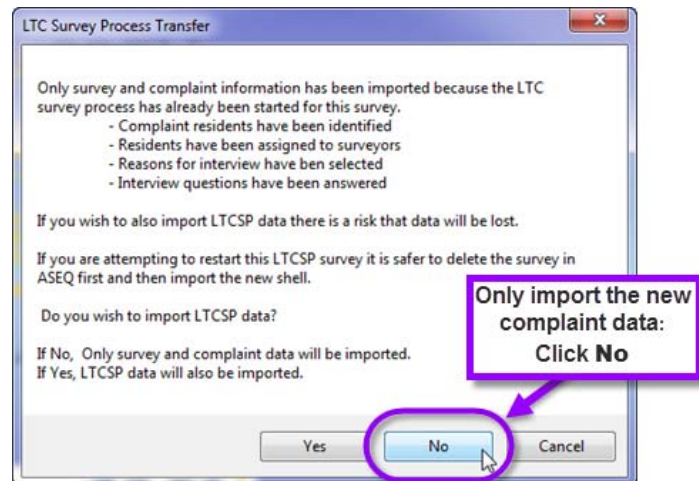


Figure 13: LTC Survey Process Transfer dialog where you select No

- 8 Click **Apply** to finalize the transfer.

Work with New Complaint/FRI Information

Once the TC has imported the survey with the new linked complaint/FRI, surveyors can work in LTCSP as normal. The TC will add the new complaint/FRI resident(s) to the initial pool if appropriate and add investigations as needed on the Offsite Preparation screen. Once these assignments have been made, the TC can data share with the team.

Note: The assignments and complaint notations will be transferred to other team members, but the actual intake information will not. To review the complaint/FRI data, team members need to import it just as the TC did.

Complaint/FRI Added During Initial Pool Process

If a complaint/FRI is called in and added to the survey during the initial pool process, the team should discuss whether to include the complaint resident(s) in the initial pool as long as:

- There are fewer than the maximum number of complaints/FRIs that may be included in the initial pool, based on the facility census information.
- There is enough time left in the initial pool process to complete the interview, observation, and record review.

To include complaint resident(s) in the initial pool:

- 1 The SA attaches the complaint to the survey shell and exports it.
[Procedure: "Attach Intake to LTCSP Survey in Progress" on page 12](#)
[Procedure: "Export Survey with New Linked Intake" on page 14](#)
- 2 The TC re-imports the shell and answers No to the warning message (do not overwrite the data) so only complaints are updated.
[Procedure: "Import New Complaint/FRI Data in the Field" on page 15](#)
- 3 On the **Offsite Prep** screen, the TC:
 - Links the ACTS complaint resident(s) to the resident list
 - Identifies the initial pool areas based on the allegations
 - Includes the complaint resident(s) in the initial pool
 - Assigns the resident to a surveyor
- 4 The TC then shares the data with the team.

More ...

For complete information about the LTCSP application and surveys, refer to the *LTCSP User's Guide*, which is posted on the QTSO website at <https://qtso.cms.gov>.

Complaint/FRI Added During Investigative Process

If a complaint/FRI is reported and added to the survey during the investigative process, we recommend that the TC *not* re-import the survey shell with the complaint/FRI data at this late point in the survey process.

If the complaint resident is in the resident list, the assigned surveyor should initiate the resident and the applicable care areas on the Investigations screen.

To add investigative area to a complaint resident in resident list:

- 1 On the **Investigations** screen, click the **Add New Investigation** icon.
- 2 Select the complaint resident.
- 3 Select all applicable care areas based on the complaint/FRI allegations.
For example, if the resident had concerns with falls, you would initiate Accidents.
- 4 Click out of the box or press **Escape** to exit, click **Save**.

If the complaint resident is not in the resident list, the assigned surveyor should add the resident to the list and then initiate the resident and the applicable care areas on the Investigations screen.

To add investigative areas to a complaint resident not in resident list:

- 1 On the **Navigation** menu, go to **Interview | Resident Manager**.
- 2 Click the **Add New Resident** icon.
- 3 Add the resident's information.
- 4 Go to the **Investigations** screen and click the **Add New Investigation** icon.
- 5 Select the complaint resident you just added and select all applicable care areas based on the complaint/FRI allegations.

For example, if the resident had concerns with falls, you would initiate Accidents.
- 6 Click out of the box or press **Escape** to exit, click **Save**.

More ...

For complete information about the LTCSP application and surveys, refer to the *LTCSP User's Guide*, which is posted on the QTSO website at <https://qtso.cms.gov>.

Enter Allegation Findings in ASE-Q

Once the LTCSP recertification survey has been completed, the complaints and FRIs investigated must also be completed. Complaints/FRIs can be marked as Substantiated or Unsubstantiated in ASE-Q before the survey is uploaded back into ACO or in ACTS. Follow your state policy for completing and uploading complaints and FRIs.

After completing the survey, surveyors can mark a complaint or FRI they investigated as Substantiated or Unsubstantiated and add any notes in ASE-Q.

This is the same process as in ACTS.

More ...

For detailed information on working with complaints, refer to the *ACTS Procedures Guide*, which is posted on the QTSO website at <https://qtso.cms.gov>.

To enter allegation findings in ASE-Q:

- 1 Open ASE-Q and expand the letter node for your facility. Expand the node for that facility and then the survey node.

The attached complaints and FRIs are listed.
- 2 Right-click the complaint or FRI you investigated and select **Modify Intake**.
- 3 Click the **Allegations** tab.
- 4 In the **Allegations** grid, select the allegation and click **Modify** to open the **Allegation Input** dialog.
- 5 In the **Findings** field, select **1 Substantiated** or **2 Unsubstantiated** from the drop-down.
- 6 Select the appropriate **Findings** qualifier(s) and click **OK**.

- 7 To add details about the findings, click **Find Text** to the right of the allegation **Findings** column on the **Allegations** grid; enter text in the **Findings: Non-confidential** pane.
- 8 Use the **Link Deficiencies** button below the **Allegations** grid to link deficiencies to allegations when pertinent.

When you transfer the LTCSP survey back into ACO, this information is included and will also be in ACTS.

Upload Complaint/FRI Information

Follow your state policy for uploading complaint/FRI information. The following are the areas on complaint/FRI intake tabs that must be completed in order to upload an intake.

Allegations tab:	Allegation Findings
	Findings Code (A–D)
	Tags Linked to Allegation
Investigation tab:	Admin Signoff
	Investigation Complete Date
Actions/Close tab:	Proposed Actions
	Note: For S/S level D and above, the one allowed proposed action is automatically created.

More ...

For detailed information on complaint uploads, refer to the *ACTS Procedures Guide*, which is posted on the QTSO website at <https://qtso.cms.gov>.

