



Center for Clinical Standards and Quality

DATE: October 9, 2024

Admin Info: 25-02-ALL

TO: State Survey Agency

FROM: Directors, Quality, Safety & Oversight Group (QSOG)
and Survey & Operations Group (SOG)

SUBJECT: ACTS Bulk Intake Import Functionality

Memorandum Summary

- To assist State Survey Agencies with the management of their complaint backlog, CMS has coordinated with Alpine Technology Group (ATG) to develop functionality to automatically create intakes and incidents in ACTS through Robotic Processing Assistance (RPA). Step by step instructions are attached and included as part of this memo.
- QTSO Memo 2024-027 - ACTS thin install 12.4.4.6, activates functionality to import multiple intakes/incidents from a CSV file and create those records through Robotic Processing Assistance
- This functionality is open for both State Agencies and CMS locations
- Bulk Intake Import to ACTS functionality: Step by step guidance and excel template attached

Background

On March 4, 2020, CMS released [QSO Memo 20-12-All](#), to address the COVID-19 pandemic and its impact on State Agencies (SAs) onsite survey activities. The memo directed SAs to suspend certain onsite complaint investigation surveys and to keep track of incoming complaints, resulting in multiple States creating and tracking complaint backlogs. As onsite survey activity resumed, SAs have made progress in scheduling and conducting some of these pending complaint investigations. CMS has explored options to assist SAs in resolving these pending complaints and has coordinated with Alpine Technology Group (ATG) to implement a bulk intake function with the latest ASPEN release. This functionality is intended to help with State workload management as complaints have increased across provider types and SAs have reported the need for additional resources for data entry into ASPEN as funding has remained flat since FY2015.

Discussion:

As part of CMS's Pending Overdue Workload Quarterly Review, SAs continue to report challenges with working the backlog of complaint investigations. CMS released Admin info o-06-NH, to emphasize the importance of the State Agencies to improve in the tracking of cases and transparency in how complaints and incidents are managed. This memo also implemented complaint and incident data entry requirements into the ASPEN Complaint and Tracking Systems (ACTS) by October 1, 2024. To assist in this effort, the Survey Operations Group, in conjunction with ATG, collaborated to developed Robotic Processing Assistance (RPA) functionality in ACTS. This functionality will facilitate the States in the creation of intakes that have not been captured in ACTS to track and schedule through ASPEN reports and alerts.

This new process was implemented as part of the latest ASPEN 12.4.4.6 thin install released on July 29, 2024. SA and CMS users can complete an Excel spreadsheet (CSV file), with minimum information adding one line per complaint received. This process is described also in the ACTS Procedure Guide 12.4.4.6 (pages 42-44). Once the .CSV file sheet has captured all pending intakes, the SA can "import" all complaint intake information into ACTS using the RPA functionality to avoid manual data entry.

As part of this memo, we are including detailed and supporting instructions under the documents named: ACTS bulk Intake Import Functionality.docx and IntakeSourceExample.csv. You can access the procedure guide within the reference and manuals section of the QTSO website under: <https://qtso.cms.gov/software/aspn/reference-manuals>.

We would like to take this opportunity to sincerely thank the SAs for all their complaint investigation backlog efforts and hope that this functionality assists in capturing and managing this important workload more effectively.

Contact:

For questions or concerns relating to this memorandum, please contact Sergio Mora at sergio.mora@cms.hhs.gov and for any technical assistance please reach out to helpdesk@alpinetg.com.

Effective Date:

Immediately. Please communicate to all appropriate staff within 30 days.

/s/

Karen L. Tritz
Director, Survey & Operations Group

/s/

David R. Wright
Director, Quality, Safety & Oversight Group

Resources to Improve Quality of Care:

Check out CMS's new Quality in Focus interactive video series. The series of 10–15 minute videos are tailored to provider types and intended to reduce the deficiencies most commonly cited during the CMS survey process, like infection control and accident prevention. Reducing these common deficiencies increases the quality of care for people with Medicare and Medicaid.

Learn to:

- *Understand surveyor evaluation criteria*
- *Recognize deficiencies*
- *Incorporate solutions into your facility's standards of care*

*See the [Quality, Safety, & Education Portal Training Catalog](#), and select *Quality in Focus*. Access additional guidance memos issued by the *Quality, Safety and Oversight Group* by going to [CMS.gov page](#) and entering your email to sign up. Check the box next to “*CCSQ Policy, Administrative, and Safety Special Alert Memorandums*” to be notified when we release a memo.*

Attachments: ACTS Bulk Import Functionality.docx
Intake Source Example

Bulk Intake Import to ACTS functionality

The purpose of this functionality is to allow states to load complaint intakes with a “Pending Triage” status into ACTS which have been recorded somewhere else and not manually entered into ACTS.

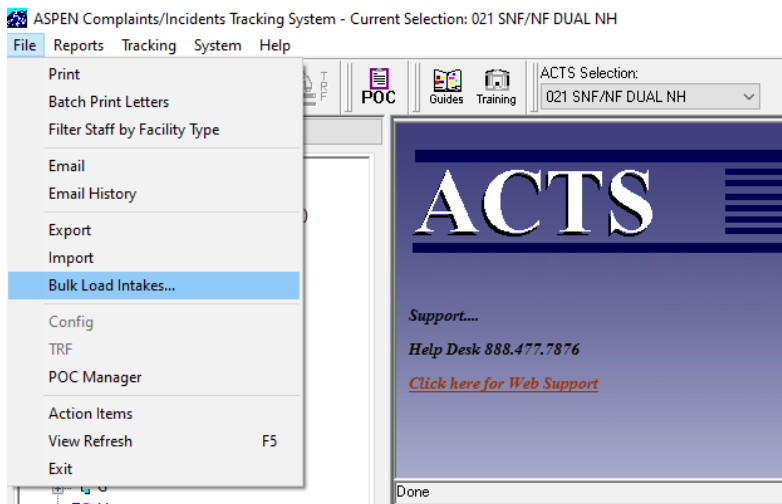
To do so, the state will need to provide use the template which already is saved as a Comma Separated Values (.CSV) file with the intake data they want to load into ACTS.

It is important that the .CSV file be in the provided format and contain appropriately formatted data.

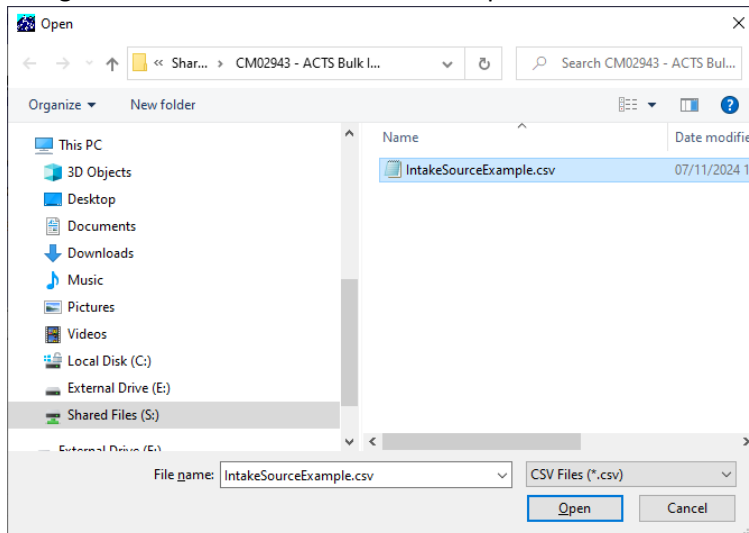
See below for .CSV file field definitions. You may also use the provided IntakeSourceExample.CSV as an example.

To import the intakes into ACTS using the .CSV file

1. Open ACTS
2. Select the File – Bulk Load Intakes... menu option

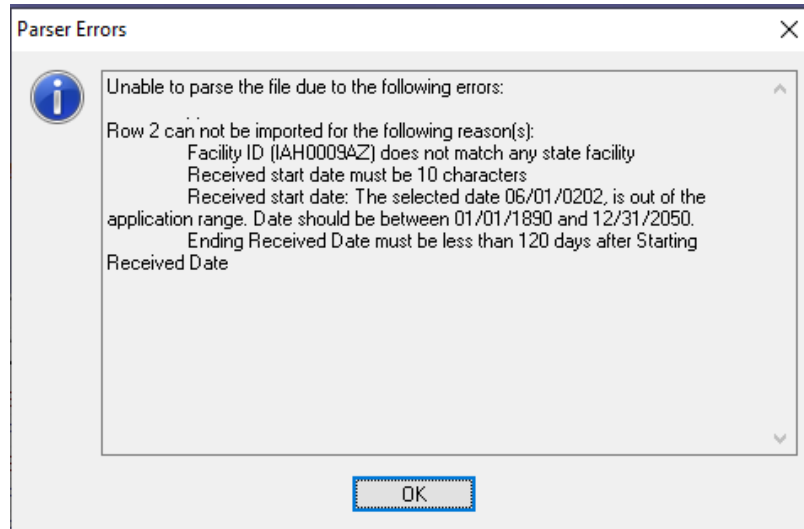


3. Navigate to and select the .CSV file to import

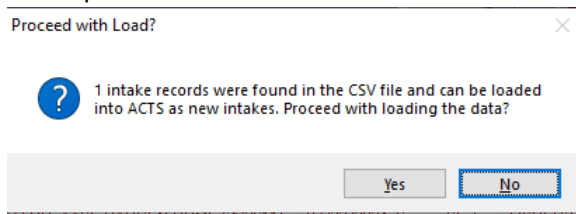


4. The Intake Import Function will analyze the selected .CSV file and report any issues to the user to correct before the import can proceed.
 - a. Correct the issues and restart the Import
 - b. Example of issues with the data

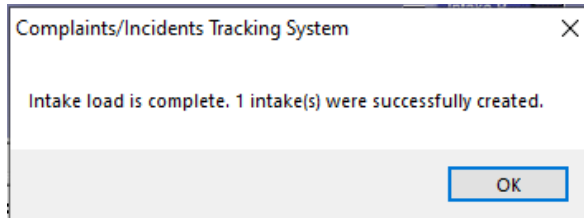
Bulk Intake Import to ACTS functionality



5. Once all issues are corrected in the source .CSV file, ACTS will ask for confirmation to continue the import



6. Pressing No will cancel the import
7. Pressing Yes will import the intakes
8. When import processing is complete, the following screen will display



Bulk Intake Import to ACTS functionality

.CSV file Field Definitions:

The .CSV file should contain the following information, in the following order.

Facility ID or CCN	Text – max length of 16	Required – this should correspond to the ASPEN FacilityID or CCN of the provider. The data should be the FacilityID or the CCN – not both
Intake Type	Text – length of 2	Required Value of 01 for Complaint Value of 02 for Entity Reported Incident
Intake Subtype	Text – length of 1	Required For Intake Type 01 – Complaint A - Federal COPs, CFCs, RFPs, EMTALA, CLIA B - State-only, licensure C - No State or Federal provider compliance issue For Intake Type 02 – Entity Reported Incident 1 - Federally-required, entity-reported 2 - State-req, potential Fed noncompl, entity-reported 3 - State-required, all other, entity-reported 4 - Reported by other agencies 5 - None of the above
Received Start Date	Date	Optional – format = mm/dd/yyyy Example: 07/01/2024
Received Start Time	Text – length of 8	Optional – format = military time Example: 13:04
Received End Date	Date	Required – format = mm/dd/yyyy Example: 07/01/2024
Received End Time	Text – length of 8	Required – format = military time Example: 13:04
Alleged Event Date	Date	Optional – format = mm/dd/yyyy Example: 07/01/2024
Alleged Event Time	Text – length of 8	Optional – format = military time Example: 13:04
Source	Text – length of 2	Optional 01 - Resident/Patient/Client 02 - Entity Self-Reported – must be selected if Intake Type is Entity Reported Incident 03 - Current Staff 04 - Former Staff 05 - Anonymous 06 - Family 07 - Friend 08 - Ombudsman 09 - State Survey Agency 10 - Other State Agency 11 - CMS 12 - Medicare Intermediary/Carrier

Bulk Intake Import to ACTS functionality

		13 - Other Health Provider 14 - Quality Improvement Organization 15 - Physician 16 - Coroner 17 - Congressional Inquiry 18 - Media 19 - Other 20 - Accreditation Organization 21 - PT Organization 22 - FDA 23 - ESRD Network 24 - Web Submitted
Complainant First Name	Text – length of 12	Optional – If complainant information is not provided, then the intake will be marked as Anonymous. Both the first and last names must be filled in for a complainant to be added.
Complainant Last Name	Text – length of 16	
Complainant Relationship with Patient	Text – length of 50	
Complainant Phone Number	Text – length of 13	
Complainant Email Address	Text – length of 75	
Patient First Name	Text – length of 12	Optional
Patient Last Name	Text – length of 18	Optional
Patient Admitted Date	Date	Optional – format = mm/dd/yyyy Example: 07/01/2024
Patient Discharge Date	Date	Optional – format = mm/dd/yyyy Example: 07/01/2024
Patient Location	Text – length of 120	Optional
Patient Room	Text – length of 6	Optional
Patient Admitting Diagnosis	Text – length of 200	Optional
Is this EMTALA?	Text – length of 1	Optional Y – Yes

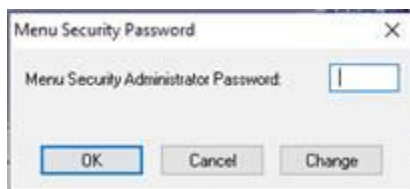
Bulk Intake Import to ACTS functionality

		N – No Blank will be treated as No
Notes	Text	Optional – free-form text

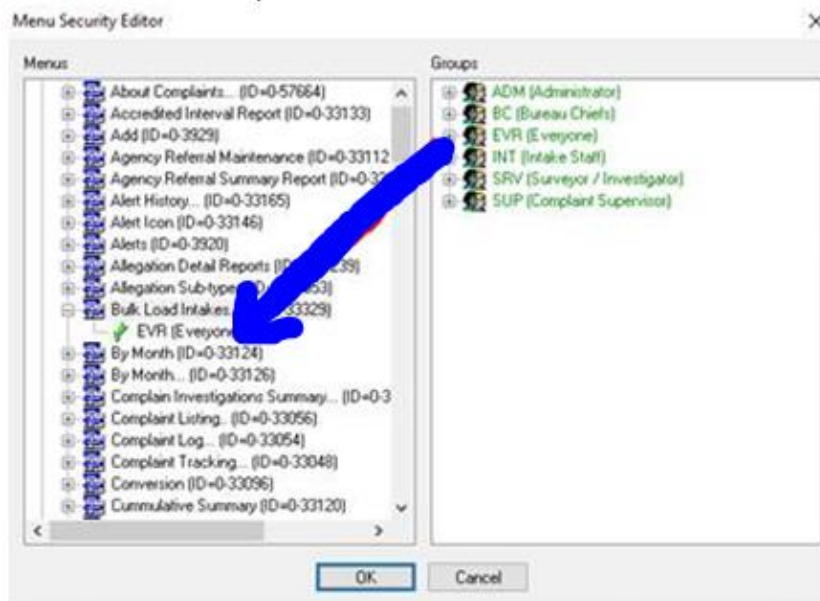
Critical Note: .CSV files use commas as delimiters between fields. If any of the fields contain a comma as a part of the field value, such as the Notes field, be sure to surround the data in the field with double quotes. An example: The Notes field contains the following text. ***The complainant is concerned with her mother's nausea, abdominal pain and headaches.*** The .CSV file should be formatted to have double quotes as the following: ***"The complainant is concerned with her mother's nausea, abdominal pain and headaches."*** You may wish to gather your data in a tool such as Excel and when the data is complete, use Excel's export function to create the .CSV file. Excel seems to do a good job of handling special characters like commas when exporting to a .CSV format. The ACTS Intake Bulk Load will need a .CSV file. Traditional excel extensions (i.e. .xls or .xlsx) are not supported.

Security Rights

Security Rights will need to be specified for the users that are executing this bulk intake process into ACTS. Ctrl-Left click on the menu option. Please log into the security menu using your State Password (Shown below):



Drag/drop the security group(s) to the menu option shown below. Right click on the group to specify their access to read/write, and the checkbox should turn green.



For any questions or additional guidance please reach out to helpdesk@alpinetg.com.

Facility ID or CCN	Intake Type	Intake Subtype	Received Start Date	Received Start Time	Received End Date	Received End Time	Alleged Event Date
P12345	1	A	06/01/2024	8:02	06/01/2024	13:00	05/01/2024
P56789	1	A	06/02/2024	9:17	06/02/2024	9:18	06/01/2024

Alleged Event Time	Source	Complainant First Name	Complainant Last Name	Complainant Relationship with Patient
14:05	1	John	Doe	Friend
11:05	1	Sally	Smith	Daughter

Complainant Phone Number	Complainant Email Address	Patient First Name	Patient Last Name	Patient Admitted Date	Patient Discharge Date
1234567890	john.doe@email.com	Patience	Dow	01/01/2024	06/01/2024
987654321	Sally.smith@email.com	Sue	Smith	02/15/2024	

Patient Location	Patient Room	Patient Admitting Diagnoses	Is EMTALA?	Notes
Dining hall	301	Crippling pain	N	She remains in his bed all day. No one helps her.
Patient Room	301	Post Op Care	N	The complainant is concerned with her mother's nausea, abdominal pain and headaches.